



## Project Mid-term Review Report

Government of Nigeria and UNDP

Implementing Partner: Federal Ministry of Environment  
United Nations Development Programme

Additional partners: Ministry of Niger Delta; Niger Delta Development Commission  
Ministry of Petroleum Resources; Oil Production Trade Sector, Lagos Chamber of  
Commerce

UNDP GEF PIMS: 2047  
GEFSEC Project ID: 4090

### **NIGER DELTA BIODIVERSITY CONSERVATION PROJECT**

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## PIMS 2047: Niger Delta Biodiversity Project

**Implementing Entity:** Federal Ministry of Environment (FMoE)

**Responsible Parties:** Shell, Total and other O&G companies to be engaged, National Oil Spill Detection and Response Agency (NOSDRA), National Environmental Standards and Regulation Enforcement Agency (NESREA), Nigerian Conservation Foundation, Niger Delta Wetlands Centre, UNDP-Shell Local Government Development Programme, European Commission, British Council, Canadian Development Agency (CIDA), Nigerian Office of the Extractive Industries Transparency Initiative (EITI).

Programme Period:	2013 – 2017
PIMS #:	2047
PIF Approval Date	Nov 13, 2009
CEO Endorsement Date	Apr 12, 2011
Project Document Signature Date (project start date):	Sep 26, 2012
Date of Inception Workshop	December 2013
Expected Date of Mid-term Review	Mar 26, 2015
Actual Date of Mid-term Review	December 2013
Expected Date of Terminal Evaluation	Jun 26, 2017
Original Planned Closing Date	Dec 31, 2017

**Acknowledgements:** The evaluators recognize and thank the Project Management Unit (PMU), UNDP Country Office and the Federal Ministry of Environment for the efficient and professional organizational support they provided during this review. Thanks also go to the stakeholders in the four States, especially the communities and other partners involved in the implementation of the project for the information provided during the review.

## Executive Summary

The Niger Delta Biodiversity Conservation Project is a five-year project with a total budget of US\$ 15,260,000.00 out of which GEF contribution is US\$ 4,610,00.00 (30.2%) and co-finance is US\$ 15,260,000.00 (69.8%). The project is being implemented in four Niger Delta States (Akwa Ibom, Bayelsa, Delta, and Rivers States), where biodiversity is under serious threats from pollution, over harvesting of natural resources, weak institutions and inadequate policy to mainstream biodiversity conservation into productive sectors and economic activities (mining, livelihoods, agriculture, etc.).

The project goal is to contribute to the conservation and sustainable use of globally significant biological diversity in the Niger Delta. The objective is to mainstream biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations, which is being pursued through three inter-related outcomes, namely: i) Stakeholders strengthen the governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta; ii) Government, the O&G industry and local communities adopt and pilot new biodiversity action planning tools for proactive biodiversity mainstreaming in the Niger Delta; iii) Stakeholders support long-term biodiversity management and the use of these new tools in the Niger Delta by capitalizing the Niger Delta Biodiversity Trust with a collaborative engagement mechanism for local communities, O&G companies and Government at its core.

The five-year project is nationally implemented (NIM) by the Federal Ministry of Environment, which should have provided a National Project Director and housed the Project management Unit (PMU). The PMU should have been led by a National Team Leader supported by a Chief Technical Advisor (Mainstreaming), and a Project Administrative Officer. Two committees were to provide support to the PMU and the project in general: The PSC should have been chaired by the Project National Director, and be responsible for overall policy guidance, while the Executive Technical Committee should have provided further technical guidance on biodiversity conservation in the context of the O&G sector operations.

### *Objectives of the MTR*

The project is at the end of the fourth year of implementation; the Mid Term Evaluation was conducted in accordance with the guidelines and regulations of UNDP and GEF. It has assessed the overall performance against the project objectives as set out in the Project Document and other related documents; project relevance to national priorities, as well as UNDP and GEF strategic objectives, namely; the effectiveness and efficiency of the project; sustainability of the project interventions and consideration of project impacts; implementation and management arrangements of the project, including financial management. The MTR assessed the progress towards the achievement of the project objectives and outcomes as specified in the Project Document, assessing early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR also reviewed the project's strategy and its risks to sustainability.

### *Summary of findings*

The summary of findings is presented in the table below.

**MTR Ratings and Achievement Summary Table for the Niger Delta Biodiversity Project**

Niger Delta Biodiversity Project Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The project was designed to mainstream biodiversity conservation in four states of the Niger Delta - in 600km <sup>2</sup> controlled by oil mining companies and to reduce threats to biodiversity in a spatial area of 46,420 km <sup>2</sup> under community management. Project design involved a large variety of stakeholders across the O&G industry, government, civil society and communities. The logframe reflects a country-driven strategy that is in line with national and state level development and environment needs. Although the design process recognized detailed assumptions regarding externalities and threats to sustainability of project results, most of them became a reality that challenged project implementation considerably. The logframe needs

		further analysis of assumptions and to incorporate more nuanced gender-sensitive outcomes, with sex-disaggregated indicators in some instances.
Progress Towards Results	Objective: Unsatisfactory	There are no new Biodiversity Action Plans formulated targeting the 600km <sup>2</sup> under oil and gas operations. The area confirmed to have presence of red colobus monkey has reduced, but the extent of reduction is yet to be determined. None of the 25,000 ha of mangrove ecosystem have been put under improved management regimes; the 10,000 ha of barrier Islands have not been put under protection yet, and there are no clear plans for doing so within the period of the project. Only one of seven institutions (Shell company) is using the IBAT. The Niger Biodiversity Trust will not be established, following advice from UNDP and there has not been an increase in funds committed to biodiversity conservation by any of the O&G companies. Although 8 Community Biodiversity Action Plans have been designed they still need further work and they have not been designed with the intention of gazettement as Community Protected Areas.
Outcome 1: Unsatisfactory		There is no change to the Capacity NDCPs and there is no further expansion of taxonomic groups under IBAT. However, the Biodiversity guidelines have been reviewed and incorporated into the EIA process of DPR and NOSDRA.
Outcome 2: Unsatisfactory		The 20% increase in corporate investment of O&G companies in biodiversity management has not yet materialise. Except for Shell Company, no additional companies have adopted model BAP for their inside the fence operations. Shell Company has reduced the investments in biodiversity conservation from the levels during project formulation. The position of the Corporate Biodiversity Advisor has been abolished.
Outcome 3: Highly Unsatisfactory		The Niger Delta Biodiversity Trust will not be registered or operationalized. The project had formulated the structure of the Trust but UNDP has taken a decision not to proceed with it, based on experiences from other projects. It is understood that UNDP policy does not support establishment of Trusts. Although some work was done, the rating is still HU because the result will not be delivered. It is doubtful that the Trust would have raised the US\$ 3 million given the changed circumstances in oil prices and the disengagement of the O&G sector from the project. The project will therefore not provide funds for community level projects aimed at reducing pressure on the biodiversity, which would have been financed by the Trust.
Project Implementation & Adaptive Management	Unsatisfactory	<p>The Project implementation modality changed from DEX to NEX but there was no alignment of the project management arrangement with the changed implementation modality. Indeed the National Project Director and Chief Technical Advisor were not recruited with the huge workload and responsibility for the project left to the Project Manager. The arbitrary changes in staffing, PSC and Project Technical Committee, which were not formerly constituted or consulted further weakened stakeholder engagement, rate of project implementation and technical quality of the project outputs. In summary the changes made to the implementation arrangements reduced the clarity and effectiveness by weakening responsibilities and reporting lines, transparency and timeliness of decision-making. The level of support from the Executing Agency and GEF Partner Agency was below expectations and needs to be improved significantly for the remaining period. UNDP should have ensured that the impacts of the changed management arrangements are mitigated, that PSC meetings were held and that stakeholder engagement was secured.</p> <p>Monitoring is being done using the M&amp;E system formulated at project design without further refinement; it is thus not being mainstreamed into the implementing partners' systems. The low level of stakeholder engagement in project implementation has further reduced the effectiveness of using the M&amp;E and knowledge management for upscaling project results.</p> <p>The project enjoys great support from the local leaders (Chiefs, Kings), in the areas where CBAPs are being formulated/implemented. These leaders support the Community Biodiversity Action Planning process and requested support to implement alternative income generating activities as part of the CBAPs. Although the MTR found evidence of support of the project by national government stakeholders, there is no evidence that these stakeholders play an active role in</p>

		<p>project decision-making in a manner that would support efficient and effective project implementation.</p> <p>The MTR finds that reporting on achievements towards outcomes could have been more accurate in the PIRs, especially in the latest ones (2015 and 2016). This would have highlighted the slow pace of both implementation and progress towards targets, and provided an opportunity to discuss the challenges the project faced. The MTR indeed finds that this project should have been rated “high risk” instead of the “low risk” rating in the June 2017 PIR. Thus the project missed opportunities to learn lessons on adaptive management.</p> <p>Internal communications are carried out adequately amongst the partners involved in project management. The project has produced several communications pieces and a number of technical reports (Box 1) which if widely disseminated will enhance awareness raising among stakeholders about the importance of Niger Delta Biodiversity and the efforts of the project to secure its conservation. The project needs to improve M&amp;E and internal administrative operations, such as filing, in order to gather evidence of project impacts.</p>
Sustainability	Unlikely	<p>Most sustainability factors are lacking. Four of the five risks identified during project design have been realised and affected the project implementation and progress towards outcomes; yet, no further mitigation measures have been formulated to address these risks. They include; 1) a glut in oil prices reducing attention to and investments into biodiversity conservation by the O&amp;G sector and the State Governments; 2) resurgence of political uncertainties increasing insecurity, making it harder and more expensive to implement project activities; 3) communities maintaining high levels of mistrust of governments and O&amp;G companies affecting their willingness to collaborate with them on biodiversity conservation; and, 4) the high levels of threats to biodiversity from over-exploitation of resources in the broader landscape (outside the area controlled by the O&amp;G sector).</p> <p>The project faces significant financial risk to sustainability because of the inadequate success in mainstreaming biodiversity conservation into the O&amp;G companies (<u>no Delta-wide Biodiversity Action Plan was formulated</u>). This will make it harder for the companies to allocate funding for conservation. Indeed, Shell Company, the most engaged in project and biodiversity conservation, has reduced its internal allocation to conservation. In addition, the Niger Delta Biodiversity Trust will not be established, following UNDP decision to suspend capitalisation of Trust Funds. It is unlikely that it would have been capitalized with the target US\$ 3 million, given the low level of engagement and prioritization of conservation by both the O&amp;G sector and the State Governments.</p> <p>The project also faces significant risk to socio-economic and governance and institutional set up to sustainability.</p>

### Recommendations

Recommendation	Party responsible
1. The MTR finds that the project focused largely on activity 2.2.1 of output 2.2: producing 8 Community Biodiversity Action Plans. Given the challenges of stakeholder engagement (described in the stakeholder engagement section and many other parts of the report), it is recommended that UNDP lead a process of revising the project strategy, to focus the project on further work on the CBAPs. This should include improvement of the CBAPs, in a participatory process, to engage communities to analyze threats to local biodiversity from natural resources use, identify actions to address the threats, prioritize costed actions, formulating resource mobilization plans, put in place institutional capacities at the local level to support sustained implementation of the action plans while mobilizing further resources and formulate participatory monitoring and knowledge management plans to support adaptive management and learning. The further development of the CBAPs should	UNDP and the PSC

be facilitated by civil society groups with skills and experiences on community based natural resources management, biodiversity conservation and local economic development, based on alternative livelihood support options. Implementation of the strategy should be supported by a gender mainstreaming strategy. Implementation of the strategy should be supported by a gender mainstreaming strategy. However, it is noted that the sustainability of the results of the refocused project (emphasizing CBAPs) will be challenged by three core issues that the NDBP should have addressed – but has not and is unlikely to address given the difficulties it has experienced so far: i) lack of financial resources to support implementation of the CBAPs, noting that the remaining project budget can support formulation but not implementation in the long-term; ii) weak policy enabling environment for biodiversity conservation (lack of policies exacerbated by weak enforcement of the few laws that exist) at the State level and for the O&G sector; iii) Weak capacity of the States to facilitate biodiversity conservation exacerbated by high levels of distrust of government and O&G sector players by the communities.	
2. UNDP needs to strengthen its technical support to the project.	UNDP
3. The PMU, with support from the PSC should assess the current management arrangements, identify strengths and weaknesses, and take remedial measures to ensure that the revised project strategy delivers the best results possible, should the project be granted the recommended two year cost neutral extension; focusing on community level biodiversity conservation programs.	PSC
4. The project should seek a two year cost neutral extension to compensate for the long period between CEO Endorsement date (Apr 12, 2011) and Inception Workshop (December 2013). This would allow the project to re-orient the project to a more effective management arrangement where the Project Steering Committee and the Technical Committee play a stronger role in guiding implementation. As reported in the Financial Management section, the project has slightly over US\$ 1.5 million unutilized.	PSC, UNDP
5. The project management unit, with technical assistance from UNDP needs to revise the logframe urgently, to identify areas of work which the project can consolidate current achievements to deliver some results during the next two years. The MTR recommends that the project drops any further work on outcomes 1 and 3, and focuses the remaining resources on community biodiversity action plans (CBAPs), which can be built into Community Protected Areas. The current CBAPs contain good quality baseline information; to move them into actual community conservation plans will require further engagement with the communities to advance analysis of the threats to their key resources, options for conservation, costed prioritized actions the communities can implement, financial mobilization strategies and a participatory monitoring and evaluation systems to support adaptive management. Although it is doubtful that the process of gazettelement for the Community Protected Areas can be achieved within the two years, formulating them and empowering communities to implement them will address the threats to biodiversity in the area outside the direct control of the O&G sector, which are significant.	PSC and the PMU
6. Assuming that no further audits have been done, it is recommended that one be performed immediately, and the findings used to address any financial management challenges for the recommended next two years of project implementation.	UNDP
7. The Project and UNDP should improve the filing systems urgently, to consolidate minutes of PSC meetings, find and keep copies of the Biodiversity Tracking Tool, updated Capacity NDCPs and Co-finance tables.	PMU
8. The project should design a participatory M&E system, especially to support the implementation of the priorities identified in the process of consolidating project results.	PMU
9. The project management team should review the stakeholder participation plan and align it with the revised project strategy, which it should actively implement. It is particularly important to engage the civil society groups with comparative advantage of facilitating community processes if the community conservation plans will be part of the revised project strategy.	PMU and PSC

10. The project should use the next PIR report to communicate more accurately about the challenges of implementation and achievements (results), and to alert the relevant authorities to support adaptive management to address them (challenges).	UNDP
11. The project should clean up the filing systems.	PMU
12. The PMU should follow-up with co-finance and update this table for the TE.	PMU
13. The PSC, once it re-engages with the project should assess the reasons for the lack of engagement of relevant stakeholders in the project implementation and draw lessons for future project execution	
14. For the revised project strategy, the project should engage in an effective communication with the relevant stakeholders, internally and externally, to enhance awareness, effective delivery and sustainability of project results.	PMU, PSC
15. The project should design a specific sustainability strategy to guide the implementation of the revised project strategy, should it be granted a two-year extension, focusing on community conservation plans.	PMU, PSC
16. The project should engage civil society groups with skills and experiences on participatory biodiversity conservation planning and implementation.	PSC, UNDP

### Summary of Lessons

- Lesson 1: It is very important to revise the project management arrangements section of the project document if implementation modality is changed at inception, to avoid confusion during implementation.*
- Lesson 2: This is a very complex project whose workload had been well matched with the recommended management arrangement, including a staff contingent of a CTA, National Project Director, National Team Leader and local and international consultants; supported by an active Project Steering and technical committees. Changing these arrangements without putting in place a contingent plan to manage the consequent risks should have been avoided.*
- Lesson 3: Like many GEF projects, the NDBP is a complex project whose design was predicated on the active participation of a broad range of stakeholders. It is critical that the project management actively utilize the stakeholder participation plan, ensuring that the relevant partnerships are established. Adaptive management, led by the PSC should be applied to either replace stakeholders unable to actively engage or to modify the project strategy to ensure results are delivered despite the absence of such stakeholders.*
- Lesson 4: Although it is necessary to involve local leadership in local resources planning, it is the local resource users who pose threats to biodiversity. They need to be consulted adequately in identifying threats to local biodiversity from natural resource use practices, identifying options for minimising these threats and formulating action plans to manage the threats. This is the cost effective way of communicating project objectives to those closest to the natural resources and biodiversity of concern.*

### MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: \_\_\_\_\_ Veronica Nyawira Muthui \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_N/A\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at *Leverkusen, Germany*, on 10<sup>th</sup> Nov 2017 -- Signature: \_\_\_\_\_



**I also approve this MTR report**

Signed at \_\_\_\_\_ *Leverkusen, Germany* \_\_\_ on 10<sup>th</sup> Nov 2017 --- Signature: \_\_\_\_\_

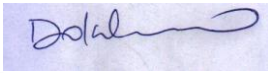


Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: \_\_\_\_\_ David Ladipo \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_N/A\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

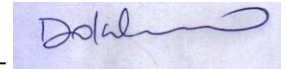
Signed at ---Abuja Nigeria ----- -- Signature:  on ---10<sup>th</sup> Nov 2017

**I also approve this MTR report**

1) Veronica Muthui --Signed at \_\_Leverkusen--- on -10<sup>th</sup> Nov 2017 --- Signature:



2) Dr Ladipo Olajide - Signed at Abuja Nigeria on -10<sup>th</sup> Nov 2017 --- Signature:--



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## List of Abbreviations

ADP	Agricultural Development Programme
BAP	Biodiversity Action Plan
BBMC	Biseni Biodiversity Mainstreaming Centre
BBOP	Business and Biodiversity Offsets Program
BDCP	Bioresources Development and Conservation Programme
BOPR	Back to Office Project Report
BPD	Barrels per day
BSCF	Billion Standard Cubic Feet
BTT	Biodiversity tracking Tool
CPAP	Country Programme Action Plan
CPD	Country Programme Documents
DEA	Department of Environmental Assessment
DPR	Department of Petroleum Resources
DRDP	Draft Rural Development Policy
EF	Ecological Fund
EGASPIN	Environmental Guidelines and Standards for the Petroleum Industry in Nigeria
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
EITI	Extractive Industries Transparency Initiative
EMP	Environmental Management Plan
EoP	End of Project
ERDI	Environmental Renewal and Development Initiative
ESHIA	Environmental, Social, Health Impact Assessment
FD	Forestry Department
FMoE	Federal Ministry of Environment, Housing and Urban Development
FRIN	Forestry Research Institute of Nigeria
GEF	Global Environment Facility
GGFR	Global Gas Flaring Reduction Partnership
GoN	Government of Nigeria
GoN	Government of Nigeria
IBA	Important Bird Area
IBAT	Integrated Biodiversity Assessment Tool
IPIECA	International Petroleum Industry Environmental Conservation Association
IUCN	International Union for the Conservation of Nature
LEEDS	Local Economic Empowerment and Development Strategy
LENF	Living Earth Nigeria Foundation
LGA	Local government areas
LGC	Local government council
MND	Ministry of Niger Delta
MoPR	Ministry of Petroleum Resources
MoU	Memorandum of Understanding
MTR	Mid-Term Review
NAOC	(Nigerian Agip Oil Company Ltd.)
NAP	National Agricultural Policy
NAPIMS	National Petroleum Investment Management Services
NBSAP	National Biodiversity Strategy and Action Plan
NCEP	National Committee on Ecological Problems
NCF	Nigerian Conservation Foundation
NDBT	Niger Delta Biodiversity Trust

NDDC	Niger Delta Development Commission
NDRMP	National Disaster Risk Management Policy
NDU	Niger Delta University, Yenagoa, Bayelsa State
NDWC	Niger Delta Wetlands Centre
NEEDS	National Economic Empowerment and Development Strategy
NEEEF	New Equitable Economic Empowerment Framework
NESREA	Nigerian Environmental Standards and Regulation Enforcement Agency
NGO	Non-Governmental Organization
NGP	National Gender Policy
NNPC	Nigerian National Petroleum Corporation
NOSDRA	National Oil Spill Disaster Response Agency
NPDC	Nigerian Petroleum Development Company
NTFP	Non--- timber forest products
NUSSP	National Water Supply and Sanitation Policy
O&G	Oil and Gas
OGP	International Association of Oil and Gas Producers
OSRP	Oil Spill Response Plan
PIND	Foundation for Partnership Initiatives in the Niger Delta
PIRs	Project Implementation Reports
PMU	Project Management Unit
PPG	Project Preparation Grant
PSC	Project Steering Committee
PTA	Project Technical Adviser
PTDF	Petroleum Technology Development Fund
RBM	Results Based Management
SEEDS	State Economic Empowerment and Development Strategy
SEP	Stakeholder Engagement Plan
SMoE	State Ministry of Environment
SPDC	Shell Petroleum Development Corporation
SPWA	Strategic Programme for West Africa (GEF)
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Education, Science, and Culture Organization
UNPAF	United Nations, Partnership Assistance Framework
UoP	University of Port Harcourt
UST	Rivers State University of Science and Technology
UU	University of Uyo, Akwa-Ibom State
WCMC	World Conservation Monitoring Centre
WWF	World Wildlife Fund

# 1 Introduction

## 1.1 Background and Context

1. The Niger Delta Biodiversity Conservation Project (NDBP) is a five-year project with a total budget of US\$ 15,260,000.00 out of which GEF contribution is US\$ 4,610,00.00 (30.2%), and co-finance is US\$ 15,260,000.00 (69.8%). The project is being implemented in four Niger Delta States (Akwa Ibom, Bayelsa, Delta, and Rivers States), where biodiversity is under serious threats from pollution, over harvesting of natural resources, weak institutions and inadequate policy to mainstream biodiversity conservation into productive sectors and economic activities (mining, livelihoods, agriculture, etc.).
2. The project goal is to contribute to the conservation and sustainable use of globally significant biological diversity in the Niger Delta. The objective is to mainstream biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations, which is being pursued through three inter-related outcomes, namely: i) Stakeholders strengthen the governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta; ii) Government, the O&G industry and local communities adopt and pilot new biodiversity action planning tools for proactive biodiversity mainstreaming in the Niger Delta; iii) Stakeholders support long-term biodiversity management and the use of these new tools in the Niger Delta by capitalizing the Niger Delta Biodiversity Trust with a collaborative engagement mechanism for local communities, O&G companies and Government at its core (further detail on the project strategy are in section 2.1).

## 1.2 OBJECTIVES OF THE MTR

3. The objectives of the MTR are spelled out in the Terms of Reference (ToR - Annex 1). The overall objective is to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

## 1.3 MTR APPROACH & METHODOLOGY

4. The MTR was conducted in close coordination with UNDP, Government of Nigeria (GoN), and Project Partners. The MTR took place from 1<sup>st</sup> October to 10<sup>th</sup> December 2017. The Evaluation Matrix (Annex 2) shows the data required and methods used to collect it; while the Evaluations Questions (Annex 3) shows the questions that guided the structured discussions with stakeholders. The Mission Itinerary and list of persons consulted are given in Annex 5.

### 1.3.1 Methodology

5. The review followed the methodology described in the sections below.

#### *Desk review of documents*

6. The key documents reviewed during the evaluation process are contained in Annex 6. They include the UNDP Project Document, the Inception Report, the four Project Implementation Reports (PIRs), Minutes of the 2 Project Board Meetings, and the Federal Ministry of Environment and UNDP strategic program documents. The review provided a basis for the analysis and enabled the determination of how the project is contributing to national development programs, plans and policies. The review of UNDP documents was necessary to establish linkages of the project with the umbrella programmes, such as United Nations Development Assistance Framework (UNDAF) and Country Programme.

#### *Data collection and analysis*

7. The evaluators spent nine days on mission: 6 of them visiting the intervention sites in Akwa Ibom, Delta, and Rivers States to assess progress and appreciate the difficulties faced by the project implementers concerning the political realities and the huge geographic area covered by the project. At

each site, the reviewers held structured group discussions with the beneficiary communities, consultants and staff of the State Ministries involved in the project implementation. The reviewers also held discussions with GEF Operational Focal Point at the Federal Ministry of Environment. The Team spent three days in Abuja consulting other Project stakeholders (see mission itinerary and list of stakeholders consulted in Annexes 5 and 6 respectively).

### ***Detailed Context***

8. In line with the ToR (Annex 1), the MTR reviewed aspects of the project design, implementation and delivery of results as briefly described in the sections below. Ratings on achievements was done in line with UNDP-GEF Guidelines, summarised in Annex 4.
9. **Project Strategy (Project design and Results Framework/Logframe):** The MTR examined the problem addressed by the project and the underlying assumptions; reviewed the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document; reviewed the relevance of the project strategy and assessed whether it provides the most effective route towards expected/intended results; reviewed whether lessons from other relevant projects were properly incorporated into the project design; examined how the project addresses country priorities and reviewed country ownership. The MTR also reviewed decision-making processes to determine if the planning phase took the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources; and, the extent to which relevant gender issues were raised in the project design.
10. **On Progress Towards Outcomes Analysis:** The MTR guidelines require review of the logframe indicators against progress made towards the end-of-project targets; comparison and analysis of the GEF Tracking Tools at the Baseline with the one meant to be completed right before the Midterm Review; identification of remaining barriers to achieving the project objective in the remainder of the project; review of the aspects of the project that have already been successful, identifying ways in which the project can further expand these benefits.
11. **On Management Arrangements:** The MTR requires a review of overall effectiveness of project management as outlined in the Project Document, determining if changes have been made and if they are effective; examine if responsibilities and reporting lines are clear and if decision-making is transparent and undertaken in a timely manner. Further, the quality of execution by the Executing Agency/Implementing Partners was reviewed along with the quality of support provided by the GEF Partner Agency (UNDP).
12. **On project implementation,** the review assessed if there were delays in project start-up and implementation, identifying the causes and examining if they have been solved; it also examined if work-planning processes are results-based, and if changes have been made to the original logframe and if it is being used as a management tool.
13. **On finance and co-finance:** The review assessed: i) Whether strong financial controls have been established that allow the project management team to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables; ii) Variances between planned and actual expenditures; iii) Whether the project demonstrates due diligence in the management of funds, including annual audits; iv) Any changes made to fund allocations as a result of budget revisions and the appropriateness and relevance of such revisions; v) Whether co-finance has been delivered in accordance with expectations laid out in the project document, and if the Project Team has made effort to pursue delivery of co-finance.
14. **On stakeholder engagement:** the review assessed whether the project management team developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders; whether local and national government stakeholders support the objectives of the project and continue to have an active role in project decision-making; whether public awareness has been created to support the project and how stakeholder involvement and public awareness contributes to the progress towards achievement of project objectives.

15. **On reporting and Communication**, the review assessed how adaptive management changes have been reported by the Project Team and shared with the Project Board; how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated Project Implementation Reports (PIRs) and how these have been shared with the Project Board and other key stakeholders; in addition, it assessed how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners and incorporated into project implementation.
16. **On financial risks to sustainability**, the MTR assessed the likelihood of financial and economic resources being available once the GEF assistance ends, examining the opportunities for financial sustainability and additional factors needed to create an enabling environment for continued financing.
17. **On socio-economic risks to sustainability**: the MTR assessed whether there are social or political risks that may jeopardize sustainability of project outcomes; whether there is a risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained; whether lessons learned are being documented continually; and whether successful aspects of the project are being transferred to appropriate parties, potential future beneficiaries, and others who could learn from the project and potentially replicate and/or scale it in the future.
18. **On institutional framework and governance risks to sustainability**, the MTR assessed; whether the country's legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits; whether the project has in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure; whether the project has developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date; and how the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes; and whether the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership) – thus can the project strategies effectively be incorporated/mainstreamed into future planning?
19. **On environmental risks to sustainability**, the MTR assessed whether there are environmental factors that could undermine and reverse the project's outcomes and results, including factors that have been identified by project stakeholders.
20. **Conclusions & Recommendations**: The MTR offers evidence-based conclusions, in light of the findings. Recommendations made are succinct suggestions for critical interventions that are specific, measurable, achievable, and relevant.

## 2 Findings

### 2.1 Project Strategy – Satisfactory

#### 2.1.1 Project design - Satisfactory

21. The project strategy had the goal of contributing to the conservation and sustainable use of globally significant biological diversity in the Niger Delta. The project was to contribute to this long-term goal via the objective of mainstreaming biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations.
22. During the project identification and design, the engines of economic and social development in the Nigeria and the Delta were identified as the main threats to the globally significant biodiversity of the Niger Delta: namely, pollution; habitat degradation and land-use change; over-harvesting of natural resources, and invasive alien species. The in-depth analysis of threats recognized that not all of the threats were linked to the O&G sector. Threats related to oil spill pollution, affecting both land and water, as well as gas flaring and land clearings for establishing wells, pipelines and plants are obviously linked to the industry's activities, especially within the “inside the fence” - the 600km<sup>2</sup> area under direct

control of O&G companies. Other threats such as land clearings for agriculture, unsustainable harvesting of trees, fish and other biological resources are attributed to natural resources exploitation to sustain livelihoods and economic development, especially in the over 4000Km<sup>2</sup> area “outside the fence” (Box 1).

*Box 1: “Inside the Fence” & “Outside the Fence”*

These terms refer to the relationship between the O&G sector and the biodiversity aspects of its social/environmental context.

**Inside the fence:** refers to the area of some 600 km<sup>2</sup> under direct control/use by the O&G companies (assets, facilities, pipeline corridor rights-of-way, etc.). It corresponds to the physical footprint of the O&G company assets within this area as admitted by the industry. At project start, this will be considered the project’s initial ‘direct landscape mainstreaming target’. This area may evolve with project implementation, as threats and impacts are more adequately assessed. It should not be discarded that threats, risks and impacts caused by O&G industry may spill over the ‘inside the fence’ area.

**Outside the fence:** Refers to the area within the broader landscape not under the direct control/use by the O&G companies themselves (most of the Niger Delta). The geographic focus of the project is on the four core Nigerian States within the Niger Delta (Akwa Ibom, Bayelsa, Delta, and Rivers States), which combined encompass an area of 46,420 km<sup>2</sup>. This will, in turn, be considered the ‘indirect landscape mainstreaming target’.

23. The project strategy was designed to respond directly to the barriers hindering the stakeholders to address these threats to biodiversity. These barriers were identified via a highly participatory process, informed by baseline assessments. The first barrier relates to the inadequacies of governance framework of information, law, policy and institutional capacity for mainstreaming biodiversity, which is hobbled by the “how to” gap. The project analysis confirmed that data on biodiversity of the Delta are either lacking, largely fragmented, outdated or off-line or non-existent. Lack of information has contributed to inadequate integrated planning, further hampering effective mainstreaming. There is no overall strategic vision of biodiversity conservation across the Delta encompassing critical habitats, priority species and communities of species, biodiversity hotspots around the Delta, O&G pressure “hot-spots” forest reserves, sacred sites for local communities and so on.
24. Biodiversity consideration in the national legal and policy framework governing both development and the O&G sector. In particular, the legal and policy instruments for regulating the O&G industry provide inadequate strategic guidance in terms of minimizing impacts on biodiversity from the O&G project cycle. Biodiversity standards and management objectives are not clear in the EIA guidelines and biodiversity is not adequately included in the “E” part of the EIA. Additionally, the Environmental Guidelines and Standards for the Petroleum Industry in Nigeria (EGASPIN), issued by the DPR and last revised in 2002<sup>1</sup>, focus on the control of pollutants from O&G operations. They do not cover to any degree the biological diversity of the Delta and how to control/mitigate/prevent and offset impacts of the O&G operations on the Delta’s biological diversity.
25. The second barrier relates to lack of a framework for neutral engagement of biodiversity conservation by all stakeholders. The lack of an adequate neutral engagement platform that provides a shared strategic basis for the key actors to come together to engage in proactive, collaborate biodiversity management in the Niger Delta is a key impediment e.g. for a more effective industry engagement in biodiversity mainstreaming. The third barrier relates to inadequate public investments in biodiversity conservation. Financing for improved management of biodiversity in the Niger Delta is inadequate, inefficiently disbursed, and not linked sufficiently to priority biodiversity areas, O&G operations or communities around the Delta.
26. These threats and barriers are validated by several studies and papers and had been confirmed by the stakeholders at project inception and in the course of the interviews conducted during the field mission of the MTR. Accordingly, the project’s strategy identified three outcomes to address each of the barriers (Table 1):

<sup>1</sup> A new revision is underway as of October 2010 but no information is available on this.

- i. Outcome 1: Stakeholders strengthen the governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta;
- ii. Outcome 2: Government, the O&G industry and local communities adopt and pilot new biodiversity action planning tools for proactive biodiversity mainstreaming in the Niger Delta;
- iii. Outcome 3: Stakeholders support long-term biodiversity management and the use of these new tools in the Niger Delta by capitalizing the Niger Delta Biodiversity Trust with a collaborative engagement mechanism for local communities, O&G companies and Government at its core.

*Table 1: Project outcomes and Outputs*

Outcomes	Outputs
Outcome 1 – The governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta is strengthened	Output 1.1 IBAT for the Niger Delta is in place and operational
	Output 1.2 Action Plan for Community-level Biodiversity Mainstreaming in the Niger Delta is developed and implemented.
	Output 1.3. The biodiversity elements of legal and policy frameworks governing the O&G sector and its regulation are strengthened
	Output 1.4. The capacity of key Federal and State government agencies to assess and mitigate the risks and threats to biodiversity from the O&G sector in the Niger Delta is strengthened
Outcome 2 – Government, the O&G industry and local communities build and pilot new biodiversity action planning tools for the proactive biodiversity management in the Niger Delta.	Output 2.1. An agreed approach for O&G company Biodiversity Action Plans (BAPs) for the Niger Delta is achieved.
	Output 2.2: A participatory process is instituted for the pilot demonstration of community-engagement in BAP for mainstreaming biodiversity management objectives into O&G project lifecycle.
	Output 2.3: O&G BAPs are independently reviewed as a means to improve corporate biodiversity mainstreaming practices
	Output 2.4. Niger Delta Biodiversity Mainstreaming Knowledge Management and Development Program is effective in informing mainstreaming practices in the Region
Outcome 3 Stakeholders support long-term biodiversity management in the Niger Delta by capitalizing and accessing the Niger Delta Biodiversity Trust as a collaborative engagement mechanism for local communities, O&G companies and Government at its core.	Output 3.1. Niger Delta Biodiversity Trust legally established with a transparent management structure, to enable the efficient and transparent allocation of resources to biodiversity conservation priorities in the Delta.
	Output 3.2. NDB Trust Capitalization: Compacts with O&G companies to capitalize the Niger Delta Biodiversity Trust are successfully negotiated.
	Output 3.3. Organized communities, partnerships of communities and NGOs, and NGOs and Government, Universities, in the Niger Delta at large have the capacity to and count on an appropriate mechanism to access funding from the Trust.

27. Under outcome 1, the project expects to operationalize the Integrated Biodiversity Assessment Tool (IBAT) for the Niger Delta, develop and implement an Action Plan for Community-level Biodiversity Mainstreaming, strengthen the biodiversity elements of legal and policy frameworks governing the O&G sector and develop and implemented capacity building programs targeting key Federal and State government agencies, to increase their capacities to assess and mitigate the risks and threats to biodiversity from the O&G sector.
28. Under outcome 2, the project expects to secure an agreed approach for O&G company Biodiversity Action Planning processes (BAPs) for the Niger Delta; to institute a participatory process for the pilot demonstration of community-engagement in BAP for mainstreaming biodiversity management objectives into O&G project lifecycle; ensure that O&G BAPs are independently reviewed as a means to improve corporate biodiversity mainstreaming practices; and to ensure that Niger Delta Biodiversity Mainstreaming Knowledge Management and Development Program is effective in informing mainstreaming practices in the Region. Under outcome 3, the project aims to legally establish and capitalize a Niger Delta Biodiversity Trust, and to ensure that relevant stakeholders (communities,

NGOs, academia and partnerships amongst these stakeholders) have partnerships and capacities to access funding from the Trust.

29. Although there was no specific section of the Prodoc outlining the lessons upon which the project design was based, the MTR finds that in general the design process benefitted from the extensive experience of UNDP and the government on formulating biodiversity conservation projects for GEF funding. The community conservation output had benefited from an analysis of the Ogoni conservation initiative. However, it is less clear if lessons had been sort on implementing such a complex project in the equally complex Delta situation. The Niger Delta is a place with a history of complex social, economic, and political challenges. More than 6 major international O&G operators operate in the Delta with many more Nigerian and other smaller international companies active as well. There is no doubt that the presence of this industry in the Delta generates significant finance. Yet, a negligible fraction of it is reverting back to improving biodiversity management, in spite of the known negative impacts of the activity on biodiversity.
30. The MTR therefore finds that the project addressed the urgent priorities identified in the country's key development and biodiversity policies and programs. The project was developed with the full support of the Federal and State Governments and is in line with the National Biodiversity Strategy and Action Plan (NBSAP) of 2001. It particularly addressed four areas prioritized in the NBSAP:
  - To improve methods and technologies that support the sustainable use of biological resources and eliminate or minimize adverse impacts on biodiversity resulting from resource use;
  - To promote sustainable use of biological resources and ensure fair and equitable sharing of benefits for poverty reduction;
  - To reduce the adverse impacts of land use practices on forest, watersheds, soils, other ecosystems and species;
  - To enhance biodiversity management capability through education and awareness, appropriate formulation of policy and legislation, research and international cooperation.
31. The project is consistent with the Poverty Reduction Strategy Paper (PRSP from 2003) and the National and State Economic Empowerment and Development Strategies (NEEDS), State Economic Empowerment and Development Strategy (SEEDS) at the state level and Local Economic Empowerment and Development Strategy (LEEDS) at the local level. All of these strategies include improved local resource management as a key element of poverty reduction. The project is equally consistent with national priorities for the sustainable development of the Niger Delta as enunciated in the workplan of the Ministry of Niger Delta and of the Niger Delta Development Commission (NDDC), plans that operationalise the directives of the Niger Delta Regional Master Plan and its derived Biodiversity Sector Report. Both policy documents take into consideration not just the threats and impacts posed by the O&G sector, but also issues of watershed management, use of forests, land degradation, coastal erosion, flood control, climate change and their impact on biodiversity.
32. Internationally, it is in line with the following conventions and agreements, all of which Nigeria has ratified: CBD, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the African Convention on the Conservation of Nature and Natural Resources; the Convention on Nature Protection and Wildlife Protection in the Western Hemisphere; Agenda 21; the RAMSAR Convention on Wetlands of International Importance; the International Convention for the Prevention of Pollution from Ships, United Nations Convention on Law of the Seas (ratified in 1994), International Convention on Oil Pollution Preparedness, Responses and Cooperation (OPRC) and the Extractive Industries Transparency Initiative (EITI).
33. As stated in the Stakeholder engagement section, project formulation was highly participatory and brought together all relevant sectors of the O&G industry, the Federal and State governments, civil society, academia, communities and development partners. The PPG ensured that perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, were taken into account, and influenced the project strategy, stakeholder participation plan and the project implementation arrangements. However, gender considerations were not taken into account adequately during project design (or

implementation). The project did not have a gender mainstreaming strategy and the indicators were not gender sensitive.

### ***Assumptions and risks:***

34. Assumptions are crucial elements of the project strategy. Assumptions are the *necessary elements that allow for a successful cause-and-effect relationship between different levels of results*. This means that an assumption should be a necessary condition very likely to be present, but beyond the influence of the project. The MTR has assessed the assumptions against assumptions validity criteria which states that: Assumptions must not be a project result, they must be necessary for project success, outside project control and very likely or certain to occur. As shown in table 2, the assumptions made by the project design were generally true with the exemption of one - the designation of special management status for mangroves or barrier island lowland forest will be backed up with real management action and legal protection. Management plans and policy formulation was part of the project results.

*Table 2: Project assumptions against assumptions validity criteria. T=True; F = False*

Assumption	Not project result	Very likely to occur	Outside project control	Necessary for project success
The project will be able to benefit from the current momentum created by the oil well blowout disaster in the Gulf of Mexico with respect to the importance of strengthening the mainstreaming of biodiversity and environmental issues into O&G activities.	T	T	T	T
The designation of special management status for mangroves or barrier island lowland forest will be backed up with real management action and legal protection.	F	F	F	T
Increased awareness and capacity will lead to a change in behaviour by O&G operators with respect to the mainstreaming of biodiversity into their operations and a change in behaviour by local communities and State government staff with respect to conceptualizing and implementing local biodiversity conservation initiatives.	T	T	T	T
The GoN's commitment to the project is demonstrated by its participation in the EITI initiative, by its ongoing and nearly completed revision of the O&G body of law and by the clear trend evident in improving environmental aspects of Nigerian O&G law and policy in the past 10 year period.	T	T	T	T
Despite some uncertainties, the O&G sector in the Niger Delta will continue to operate in a robust manner, with new fields being explored and increasing production coming on line from new O&G activities.	T	T	T	T
O&G operators will continue to see biodiversity conservation and collaboration with local communities and other stakeholders as a win-win for their business model both on the local and international levels.	T	T	T	T
Increased awareness and capacity will lead to a change in behaviour by O&G operators with respect to the mainstreaming of biodiversity into their operations and a change in behaviour by local communities and State government staff with respect to conceptualizing and implementing local biodiversity conservation initiatives.	T	T	T	T
Lessons learnt in the core Delta states can be successfully disseminated to the remaining five Delta States.	T	T	T	T

35. Project design identified six risks, two were rated high, two medium and one low. This placed the project in the **medium-high risk category**. Risks are similar to assumptions in that they are necessary factors for project success but differ in that the likelihood of occurring is higher and the negative impact on the results is significant. The MTR finds that the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and the risk ratings applied were appropriate. In addition, most risks materialized and affected project implementation and progress towards outcomes significantly. Table 3 summarises the status of the risks and how it has affected project implementation.

*Table 3: Status of risks and the impact on implementation and progress towards outcomes*

Risks Identified at PPG	Impact	Likelihood	Risk Assessment	what happened	impact on project
Government policies and programs will support unrestrained O&G development in the Niger Delta, as world demand for oil increases.	High	Moderately likely	Medium	It is difficult to determine if the world demand for oil increased, but oil production declined due to a fall in prices of crude oil globally.	The O&G sector as well as State Governments reduced investments in biodiversity conservation and the project struggled to get the O&G sector to participate in the project. This would have affected the ability of the project to mobilize the US\$ 3 million for the Niger Delta Biodiversity Trust, which has now been removed as a project output for other reasons.
Insecurity and violence in the Niger Delta makes project operations expensive and at times impossible	High	Likely	High	There was a resurgence of insecurity.	The resurgence of insecurity made project implementation difficult. It contributed to the low engagement of the O&G sector, without which the project cannot deliver majority of the targets and cannot secure sustainability of results.
Fluctuation in the global price of oil may force O&G companies to act short-sightedly with respect to investments and it makes them less likely to collaborate in the project and capitalise the Niger Delta Biodiversity Trust.	High	Unlikely	Low	There was a glut in oil prices	This risk should have been rated LIKELY. Oil prices crashed from a high of US\$ 115 to US\$ 60 during the project period. The glut in oil prices indeed contributed to the low engagement of the O&G sector, without which the project cannot deliver majority of the targets and cannot secure sustainability of results. The low engagement could have been mitigated by intervention by the PSC. Unfortunately the PSC for the project was not properly constituted.
Local communities show resistance to the project due to distrust of government and O&G companies.	High	Moderately Likely	Medium	The communities still have a high level of distrust of government and O&G sector.	The project has engaged communities, largely through the community leaders and has formulated 8 CBAPs. This success has been achieved largely because the project did not actively

Risks Identified at PPG	Impact	Likelihood	Risk Assessment	what happened	impact on project
					engage State Governments and the O&G sector in implementation. The O&G sector declined to take up the invitation to be part of the CBAPs.
There are other, non-oil and gas related impacts on biodiversity and ecosystem health in the Delta that may affect project results on the ground.	High	Very Likely	High	The MTR could not undertake an in-depth analysis of changes in levels of threats to biodiversity since PPG. However, there is no reason to believe that the threats declined.	Physical observations show that the primary forests have been cleared in most of the Delta region. Discussions with community groups confirm that the threats to biodiversity continue to increase with population growth and inadequate investment in biodiversity conservation by both the O&G sector and government. The project's low progress towards outcomes is therefore inadequate to shift barriers to biodiversity conservation in the Delta, against the growing threats.
Companies may decide that corporate investment of O&G companies in biodiversity management is privileged information and not be willing to make it public.	High	Very Likely	High	There was inadequate engagement of the O&G sector; there was limited implementation of outputs 1.1, 2.1, 2.2 and 2.4 under which O&G companies would have shared knowledge	

36. As reported in the section on progress towards outcomes, the implementation of the project design was hampered by the change in project management arrangements, exacerbated by inadequate stakeholder engagement in implementation and the shift in priorities for the O&G sector and State Governments, following the drop in oil prices and consequent revenues. Project implementation focused on very few outputs, hence the project cannot deliver on the goal. In addition, there was inadequate monitoring of the assumptions and risks by the PSC; hence no mitigation measures were implemented to manage the negative impacts on project implementation and progress towards outcomes.

- 1) *Recommendation: The project strategy should be revised to consolidate project achievements in two years, focused on empowering community conservation – via Community Biodiversity Conservation Action Plans. It is therefore further recommended that the project seek a two-year cost neutral extension. The strategy formulated should be supported by a gender mainstreaming strategy.*
- 2) *Recommendation: The PSC should be engaged more effectively in monitoring assumptions and risks and provide guidance to the project on managing their impacts through adaptive management.*

### 2.1.2 Results Framework/Logframe: Satisfactory

37. All the results and indicators formulated in the project document (outcomes, outputs, targets) respond to SMART criteria as they refer to **specific** and **measurable** results, e.g. the development/ establishment/ enactment/ approval of a state policy/ law/database/state service, Trust Fund. They are all **relevant** to the project's objective and would have been achievable within the 5-year timeframe of the project if the assumptions discussed in the section above had held true and the project management arrangements described in the Prodoc had been adhered to. By definition, project results are **time-**

**bound** as they must be achieved within the implementation timeframe. Table 1 summaries the results (Outcomes and outputs) while Table 4 (below) summaries the project indicators.

*Table 4: Project Indicators*

Strategy	End of Project target
Objective: To mainstream biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations.	<ol style="list-style-type: none"> <li>1. At least 600 km<sup>2</sup> of O&amp;G footprint covered by new or revised BAP for O&amp;G operations in ND.</li> <li>2. Red colobus monkey is confirmed present in 15,000 hectares by end of project (EoP).</li> <li>3. At least 25,000 ha of mangrove ecosystem under improved special management regime;</li> <li>4. At least 10,000 ha cover of barrier island lowland forest under protection.</li> <li>5. At least three O&amp;G companies and 3 Government agencies using IBAT regularly for Niger Delta biodiversity mainstreaming by end of project.</li> <li>6. At least 5,000 hectares of PA/set-aside or other PA gazetted and under biodiversity management by end of project.</li> <li>7. US\$3 million committed to the Trust by EoP.</li> <li>8. Niger Delta Biodiversity Trust (NDBT) Articles of Incorporation agreed upon by the GoN, O&amp;G companies, and relevant civil society partners and legally approved under Nigeria's Companies and Allied Matters Act.</li> <li>9. At least four primary laws have biodiversity mainstreamed into their language via adopted guidelines, amendments, or modified language in the laws themselves.</li> </ol>
Outcome 1: Governance Framework, laws and Policies	<ol style="list-style-type: none"> <li>10. At least three by end of project.</li> <li>11. Improvement from 5/45 to minimum 10/48.</li> <li>12. Biodiversity mainstreamed into EIA process in at least 3 entry points.</li> <li>13. Coverage of taxonomic groups expanded to at least four in total.</li> </ol>
Outcome 2: New biodiversity action planning tools for the proactive biodiversity management	<ol style="list-style-type: none"> <li>14. A 20% increase in corporate investment of O&amp;G companies in biodiversity management will ensure biodiversity safeguarding at O&amp;G extraction sites, pipeline and tanker transportation.</li> <li>15. At least 3 companies adopt model BAP for their inside the fence operations.</li> </ol>
Outcome 3: Niger Delta Biodiversity Trust established and capitalized	<ol style="list-style-type: none"> <li>16. Niger Delta Biodiversity Trust operational with at least US\$3 million in funding supporting biodiversity conservation in critical ecosystems within the whole of the Niger Delta Region</li> <li>17. At least 15 by end of project - - biodiversity conservation projects funded and operational in the four pilot States of the Niger Delta</li> </ol>

- 3) *Recommendation: The indicators should be revised in line with the revised project strategy. This should include ensuring that indicators are gender sensitive and reflect gender segregated data and means of verification.*

### 2.1.3 Results Framework/Logframe – Marginally Satisfactory

## 2.2 Progress towards Results – Unsatisfactory

38. The MTR finds that progress towards results is, on average, unsatisfactory. The project has seventeen indicators, out of which two are rated Satisfactory, three are rated Marginally Satisfactory, ten are rated Unsatisfactory and two are rated as Highly Unsatisfactory. The latter (rated Highly Unsatisfactory) are for outcome 3. This rating is justified by the fact that the Niger Delta Biodiversity Trust will not be established, hence the project will not deliver outcomes on these indicators, even at the Terminal Evaluation. The assessment on progress towards results was based on the information contained in the four Project Implementation Reports (PIRs), review of project reports and publications as well as discussions with the Project Management Unit (PMU) and other relevant project implementation partners and stakeholders. It was not possible to utilize the Biodiversity Tracking Tool, which is not available. The MTR is being done at the end of the fourth year of project implementation (delayed

milestone). It is noted that although the latest PIRs (dated June 2016 and June 2017) report the progress towards results as “on track” for both years, the MTR was unable to find corroborating evidence for this rating. Indeed, there is very limited progress towards results, as summarised in Table 5, below. It is the view of the MTR Team that the reasons for the unsatisfactory delivery of results can be explained by the changes made to the project management implementation arrangements detailed in section 2.3.1; primarily the fact that the project did not recruit a National Project Director or a CTA (Mainstreaming), did not utilize the Project Steering Committee to resolve challenges of engaging the Oil and Gas sector and that it did not embrace a fully participatory process for implementation that would have involved the relevant government departments and the communities in project planning, monitoring and adaptive management. These shortfalls exacerbated the challenges the project faced from the changed circumstances in the Delta region, namely, a fall in the price of crude oil and resurgence of political uncertainties, and a seeming change of priorities by the oil production companies and State Governments.

Table 5: Progress towards outcomes assessed along the logframe indicators

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	Justification for rating
						Rating	
<b>39. Objective:</b> To mainstream biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations.	<u>Indicator 1:</u> Improved management of 600 km <sup>2</sup> “inside the fence” of O&G operations as measured by adoption of Biodiversity Action Plans for a target number of O&G operations in the Delta.	No BAP for operations in the Delta	The first and second PIR report on community biodiversity action plans (reporting 8 of them under formulation). However, the indicator refers to the number of Oil and Gas companies that would have BAP. The number and coverage of community biodiversity action plans should be reported on indicator number 7 – below.	At least 600km <sup>2</sup> of O&G footprint covered by new or revised BAP for O&G operations in the Niger Delta.	A guide for developing biodiversity action plans for the O&G sector was developed in 2015, based on IPIECA guidelines. However, no new BAPs have been designed covering any part of the 600 km <sup>2</sup> “inside the fence” of O&G operations - Unsatisfactory	Unsatisfactory	Except for the Shell company which had a BAP before the start of the project, there are no new Biodiversity Action Plans formulated targeting the areas under oil and gas operations. The 8 Community Biodiversity Action Plans cover areas outside of the 600 km <sup>2</sup> “inside the fence”. Their contribution to achieving results is considered under indicator 7 – Community Protected Areas.
	<u>Indicator 2:</u> Threats to biodiversity linked to O&G are reduced in a spatial area of 46,420 km <sup>2</sup> as measured by condition, number or extent of key species and ecosystems in the	Area where Niger Delta red colobus monkey is unknown and un-measured.  - Zero hectares of mangrove ecosystem in	Mapping has been done and process of ensuring government backed protection is underway. Dialogue with relevant government agencies (state ministries of environment) to put conservation in fiscal proposals.	- Red colobus monkey is confirmed present in 15,000 hectares by end of project (EoP).	An assessment of the habitats of the red colobus monkeys was completed in 2014. Discussions are under way to secure government backed protection		Assessment carried out in 2014 shows that the area confirmed to have presence of red colobus has reduced, but the extent of reduction is yet to be determined.  Although an assessment of the areas currently

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
	<p>Niger Delta:</p> <p><u>Indicator 3</u>:- Area in ND where Niger Delta red colobus monkey is confirmed</p> <p><u>Indicator 4</u>:- # of hectares of mangrove ecosystem in under improved special management regime</p> <p><u>Indicator 5</u>: # of hectares cover of barrier island lowland forest under protection.</p>	<p>under improved special management regime</p> <p>Zero hectares cover of barrier island lowland forest under protection.</p>		<p>- At least 25,000 ha of mangrove ecosystem under improved special management regime</p> <p>- At least 10,000 ha cover of barrier island lowland forest under protection.</p>	<p>for Red colobus monkey's habitats - Unsatisfactory.</p> <p>An assessment of the state of mangroves, threats and potential for protection in the four States was undertaken in 2015? It recommended establishment of mangrove protected areas in three sites but further work such as community consultations, preparation of nomination files, etc. has not yet started. Unsatisfactory</p> <p>Work towards this outcome has not yet started</p>		<p>covered by mangroves was undertaken, the recommendations in the report have not yet been implemented, hence no mangroves have been put under special management yet. No work has been undertaken to put the 10,000 ha of barrier islands under protection yet, and no explanation was provided for the lack of progress. The MTR is of the view that the changes to project implementation arrangement contributed to the low achievement of results under this and all other outcomes.</p>
	<u>Indicator 6</u> :	Zero	By 2016, The IBAT tool had	At least three O&G	Awareness raising		Shell company is the

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
	Number of O&G companies and Government agencies utilizing IBAT regularly for Niger Delta biodiversity mainstreaming.		been updated and validated by different stakeholders. However, the 2017 PIR reported that the project had started raising awareness of the IBAT amongst the O&G sector – especially Shell	companies and 3 Government agencies using IBAT regularly for Niger Delta biodiversity mainstreaming by end of project.	on the importance of IBAT is being undertaken. Marginally Unsatisfactory		only one that is using the IBAT. No government agencies are using the IBAT, so one out of six expected institutions.
	<u>Indicator 7:</u> # of hectares of community PA/set-aside or other PA gazetted and under biodiversity management in four pilot States of the Niger Delta.	Zero	The 2017 PIR reported that discussions on the planned PAs are ongoing with the government for them to maintain the PAs as inviolate plots, avoid farming in designated PAs and control access to them. It is noted here that the indicator refers to community PAs hence the discussion should have been primarily with the communities.	At least 5,000 hectares of PA/set-aside or other PA gazetted and under biodiversity management by end of project.	8 community biodiversity action plans have been formulated. Community Protected Areas (CPAs) are stretched across the four project states of the Niger Delta. Some of the agreed decisions include controlled access; stop degradation in form of sand dredging, cutting of trees and the killing of endangered species such as the dwarf crocodile (osteolaemus tetraspis) and monitor lizard (varanus nileoticus). Bye		Most of the project work has focused on this outcome. The project has produced over 20 Community Biodiversity Action Plans. Unfortunately, the formulation had limited community participation, and has not been developed with the intention of gazettement. Hence nomination files have not been prepared nor have the conditions necessary for gazettement been assessed. The CBAPs were produced by a team of consultants, largely drawn from the universities. They provide excellent baseline analysis of the natural resources but without adequate input

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
					laws have been developed in one particular instance in Akwa Ibom State. Rules of engagement have also been developed for when the endangered species of monkeys are found destroying farm crops. Unsatisfactory		of communities. They do not include a participatory analysis of the threats to those resources or prioritized and costed action plans for their implementation. They do not contain funding strategies or institutional arrangements for their implementation, and no M&E systems. They can therefore be considered baseline information upon which CBAPs can be formulated. Further work is needed, led by professionals with skills and experiences in engaging communities meaningfully in NRM based-planning.
	Indicator 8: Amount of funding committed to the NDBT by EoP.  Indicator 9: Presence or absence of operational Niger Delta Biodiversity	Zero funding committed.  Does not exist. No funding committed to any mechanism for Delta biodiversity conservation/	The 2016 PIR reported that the fall in the price of crude oil was to blame for reluctance of O&G sector to commit funds. The 2017 PIR reported that the project experienced difficulty with the government of the four states at all levels to accept the buy-in and make contribution towards the creation of the fund.	US\$3 million committed to the Trust by EoP.  Niger Delta Biodiversity Trust (NDBT) Articles of Incorporation agreed upon by the GoN, O&G companies, and relevant civil society partners and legally approved under	No further funding committed - Unsatisfactory		There is no further funds committed towards biodiversity conservation by any of the relevant stakeholders. The project commissioned a consultant who developed the structure of the Niger Delta

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
	Trust mechanism and level of funding committed.	mainstreaming	This is even more difficult as there are inadequate legal framework and instruments to back the creation of the fund. Awareness creation among the stakeholders towards the benefits of the trust fund continues.	Nigeria's Companies and Allied Matters Act.			Biodiversity Trust. However, before agreement with the oil and gas sector could be discussed, UNDP has advised against the setup of such a Trust Fund through the use of GEF funds and advised that the capitalization of such Trust Funds through UNDP or GEF funds is not catered for under the financial rules of UNDP. Rather what is possible is the support to activities implemented by an existing Trust Fund, such TF having been established through other funding sources (i.e. non-GEF and non-UNDP).
	Indicator 10: # of primary laws and policies and regulations improved with biodiversity mainstreaming guidelines, recommendations, and amendments.	No laws/policies have biodiversity mainstreamed into them, including the EIA, EGASPIN, PIB, and Oil Spill Response Plan.	The 2016 PIR reported that three of the targeted policies had biodiversity concerns mainstreamed into them, which were in draft format waiting to be validated by the different stakeholders. These were the Environmental Guidelines and Standards for the Petroleum Industry in Nigeria (EGASPIN), the Environmental Impact	At least four primary laws have biodiversity mainstreamed into their language via adopted guidelines, amendments, or modified language in the laws themselves.	Three of the policies have been finalized. - A Guide to Developing Biodiversity Action Plans for the O&G Sector in the Niger Delta Based On IPIECA Guidelines		

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	Justification for rating
						Rating	
			Assessment (EIA) Policy and the National Oil Spill Contingency Plan. In 2017, it was reported that The Bye-law in Ikot Akpan Uzo in Akwa Ibom State was developed by the project to protect the Sclater guenon monkey		<ul style="list-style-type: none"> <li>- Stakeholders Collaborative Strategy for Biodiversity Conservation In The Niger Delta (A financial mechanism)</li> <li>- Niger Delta Strengthening of Biodiversity Elements of Legal and Policy Frameworks</li> <li>- Satisfactory</li> </ul>		
<b>Outcome 1</b> – The governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta is strengthened	<u>Indicator 11:</u> Improvement in NDCP of UNDP Capacity Assessment Tool over life of project. ( <i>see PRODOC</i> <b>Error! Reference source not found.</b> )	5 out of 48	Both 2016 and 2017 PIRs reported that the assessment had not been repeated	Improvement from 5/45 to minimum 10/48.	No change to the Capacity NDCPs – Unsatisfactory	Unsatisfactory	The MTR Team has been unable to access the updated Capacity NDCPs – because they have not been updated as part of the MTR. However, a capacity assessment program is under implementation, which is meant to inform a capacity development program. A plan has also been elaborated to guide integration of biodiversity conservation in primary and tertiary levels of education in the Delta; however,

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
							implementation of the plan is not yet undertaken.
	Indicator 12: # of measureable/ tangible improvements in the EIA process for biodiversity mainstreaming.	EIA has few if any specific biodiversity conservation targets/ objectives.	As mentioned above, Biodiversity elements have been taken into considerations at all phases of the EIA processes based on the EIA policies. However, these have not been approved by the Federal government yet, but still at the draft stage.	Biodiversity mainstreamed into EIA process in at least 3 entry points. <i>(See PRODOC Error! Reference source not found. under the description of output 1.3)</i>	Biodiversity guidelines have been reviewed and incorporated into the EIA process of DPR and NOSDRA - Satisfactory		
	Indicator 13: Level of improvement of data available through IBAT decision support tool.	Info on KBA available through IBAT driven by one taxa (birds).	2017 PIR reported that IBAT the information generated by NCF (Nigerian Conservation Foundation) needed to be reviewed and up-dated. The situation was the same in 2017 and that the coverage of the taxonomic group had not yet expanded.	Coverage of taxonomic groups expanded to at least four in total.	No further expansion of taxonomic groups under IBAT - Unsatisfactory		The work on IBAT was meant to be led by the Nigerian Conservation Foundation. However, the leader of the NCF died in a plane crash and the Foundation has lost most of its technical staff, hence capacity. The work on the IBAT has therefore stalled. As explained in the analysis of the management arrangement, the project would have benefitted from a CTA and the PSC to mitigate such challenges.
Outcome 2 – Government, the	Indicator 14: Change in level of	TBD At project	The 2017 PIR reported that the fall of global oil prices and the	A 20% increase in corporate investment of	No progress has been made on this	Unsatisfactory	There has not been increase in O&G sector

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	Justification for rating
						Rating	
O&G industry and local communities build and pilot new biodiversity action planning tools for the proactive biodiversity management in the Niger Delta	corporate investment in biodiversity management.	inception.	resurgence in militant activities in the Niger Delta, SPDC has scaled down their operations onshore. There was no change in the 2017 PIR	O&G companies in biodiversity management will ensure biodiversity safeguarding at O&G extraction sites, pipeline and tanker transportation.	target. Unsatisfactory		investment in biodiversity conservation. At the start of the project only Shell participated actively in BD conservation and the project. However, it has since reduced its investment in BD (demoted the BD focal point to BD expert). This is due to the fall in the price of crude oil. However, the MTR is of the view that inadequate engagement of the O&G sector would have been mitigated if the PSC had been used to tackle this and other challenges.
	Indicator 15: # of O&G companies adopting new BAP for operations.	Zero	Both 2016 and 2017 PIRs report that only Shell Petroleum Development Company (SPDC) has adopted the BAP. No progress with other O&G companies	At least 3 companies adopt model BAP for their inside the fence operations.	Shell company has a Biodiversity Action Plan by the start of the project. No O&G companies have joined or developed BAPs – claiming there's no legal requirement for it. <b>Marginally Unsatisfactory</b>		
<b>Outcome 3</b> Stakeholders support long-term biodiversity management in the Niger Delta by capitalizing and accessing the Niger Delta Biodiversity Trust as a collaborative	Indicator 16: Presence/absence of NDB Trust operational and funded with a first tranche of US\$ 3 million supporting biodiversity conservation in critical ecosystems within the whole of the Niger Delta	No NDBT and minimal funding for biodiversity in general.	The 2017 PIR reported that the process of engaging stakeholders through advocacy on the benefits of the trust fund and development of the mechanism had been initiated with the government. However, some of the oil companies had started to move out of the region due to volatile nature of the region and also the glut in the oil industry has reduced investment in the	Niger Delta Biodiversity Trust operational with at least US\$3 million in funding supporting biodiversity conservation in critical ecosystems within the whole of the Niger Delta Region	The Niger Delta Biodiversity Trust has not yet been registered or operationalized, hence no progress has been made towards raising the US\$ 3 million - <b>Marginally Unsatisfactory</b> .	<b>Highly Unsatisfactory</b>	As reported in the objectives indicator section, the Niger Delta Biodiversity Trust will not be established (per instructions from UNDP), and there has been a decline in the O&G investments in biodiversity conservation, associated with the drop

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	
						Rating	Justification for rating
engagement mechanism for local communities, O&G companies and Government at its core.	Region		sector.				in the price of crude oil.
	<u>Indicator 17: # of community proposed biodiversity conservation projects funded and operational in the four pilot States of the Niger Delta.</u>	Zero	The 2016 PIR reports that the SPDC carried out community projects in two protected areas - Taylor Creek and forest reserve and Upper Orashi Forest reserve. It is not explained what the projects addressed, who was involved or how much money was provided. The 2017 PIR reports that six communal projects were proposed and piloted in 2017 for management of invasive species. The communities were assisted to develop local methods in combating invasive alien species such as water hyacinth. Capacity of the local community dwellers were also built for the making local woven baskets, flower case, table mats etc. The projects are still ongoing.	At least 15 by end of project biodiversity conservation projects funded and operational in the four pilot States of the Niger Delta	Several community projects reported to be under implementation - <b>Marginally Unsatisfactory.</b>		Although the 2016 and 2017 PIRs report several community biodiversity conservation projects have been financed, this is likely a double reporting from indicator number 7 (Community Biodiversity Action Plans). The community biodiversity projects were expected to be financed through the Nile Delta Biodiversity Trust (NDBT), which has not yet been established. In addition, it is difficult to make an assessment of the benefits accruing to the communities from the reported biodiversity projects without information on the implementation of the reported projects. Field visits and discussions with stakeholders indicate that the projects are in the very initial stages – e.g. the groups have been organized to receive

Project strategy	Indicator	Baseline	Level 2 <sup>nd</sup> PIR -self reported	End of Project target		MTR achievement	Justification for rating
						Rating	
							training on alternative use of water hyacinth but the actual training is yet to be delivered. Since the NDBT will not be established and there has been a decline in O&G industry investment into biodiversity conservation, no community biodiversity action plans have been financed from the Trust Fund, and there will be none even at the TE.

<b>Indicator Assessment Key</b>	<b>Yellow=</b> On target to be achieved	<b>Red=</b> Not on target to be achieved
<b>Green=</b> Achieved		

- 4) *Recommendation: The MTR finds that the project focused largely on activity 2.2.1 of output 2.2: producing over 20 Community Biodiversity Action Plans. Given the challenges of stakeholder engagement (described in the stakeholder engagement section and many other parts of the report), it is recommended that UNDP lead a process of revising the project strategy, to focus the project on further work on the CBAPs. This should include improvement of the CBAPs, in a participatory process, to engage communities to analyse threats to local biodiversity from natural resources use, identify actions to address the threats, prioritise costed actions, formulate resource mobilisation plans, put in place institutional capacities at the local level to support sustained implementation of the action plans while mobilizing further resources and formulate participatory monitoring and knowledge management plans to support adaptive management and learning. This process should be facilitated by civil society groups with skills and experiences on community based natural resources management, biodiversity conservation and local economic development, based on alternative livelihood support options.*

## 2.3 Project Implementation and Adaptive Management - Unsatisfactory

### 2.3.1 Management Arrangements - Unsatisfactory

40. The management arrangement described in the Prodoc is Direct Execution by UNDP (DEX). This was deemed to be the best option due to the fact that the project was going to work at the Federal level, across four Delta States and at the international level with more than six international O&G companies and multiple international NGOs. The DEX modality was deemed to have the ability to provide for maximum flexibility needed to achieve the full range of project outcomes. The Federal Ministry of Environment (FMoE) was to be the lead government agency and was to be responsible for the supervision of the project, providing joint approval of quarterly work plans and budgets at the national level.
41. The FMoE was supposed to appoint a senior official as the National Project Director (NPD), who would lead government support to the implementation of the Project and be responsible for the achievement of its objectives. The project was supposed to hire two senior staff members: a Chief Technical Advisor for Mainstreaming (CTAM) co-funded by UNDP, and a National Team Leader (NTL). The CTAM and the NTL would work in close collaboration with the NPD towards the achievement of the project outcomes and objective. Implementation was to be further supported by a series of consultants and a project administration officer.
42. Overall project oversight was to be provided by a Project Steering Committee comprising of multi-disciplinary and multi-sectoral membership drawn from UNDP-Nigeria, FMoE, MND, Ministry of Petroleum Resources; two State MoE, two Oil Company representatives, one NGO. The NTL would support the Secretariat of the PSC. The major function of the PSC was to ensure stakeholder engagement, revise and approve the project work plans, assess the reported projects progress, conduct annual review of projects, assess eventual implementation problems and guide necessary adjustments and approve any strategic changes including budgets
43. The PSC was to be supported by two other committees: i) A **Project Executive Committee (PEC)** composed of UNDP-Nigeria, the National Project Director (NPD), the NTL, and the CTAM. It was supposed to provide day-to-day operational project supervision. It was foreseen that the Ministry of Petroleum Resources and the Ministry of Niger Delta may be called to join the PEC. ii) A **Consultative Group** of sectoral specialists would also be formed and consulted by the Project Steering Committee on specific issues. The group would enable a broader representation than just the PSC at a high level of influence for the project. This group was to include: experts in law, in EIA process, in biodiversity, in O&G phases and work processes in Nigeria, key NGOs operating in the Delta, O&G company representatives, media people. A series of consultative workshops was to be held to present project strategies, obtain technical reviews and promote information sharing between these participants.
44. However, the inception workshop recommended a change from DEX to National Implementation Modality (NIM). There was however no subsequent revision of the Management Implementation section of the Prodoc. The MTR finds that the actual implementation was “an imperfect NIM”, with the changes summarised in the table below. The MTR is of the view that the technical requirements for the project from UNDP was likely affected by the changes that happened in the Regional Service Centre, during the move from South Africa to Ethiopia. The Regional Technical Advisors changed three times.

*Table 6: Summary of changes to implementation arrangement and impacts on project implementation and achievements of outcomes*

Proposed in the Prodoc	As implemented	Impact on implementation and delivery of outcomes
Project Steering Committee comprised of key national and international members to provide	The PSC was not formerly constituted. This should have happened during the inception period with the first PSC meeting held back to back with the inception workshop to be introduced to each other, to go over their terms of reference and to approve	The MTR finds that the PSC has not provided effective guidance to the project, because it was not consulted. This is particularly unfortunate because the project experienced many challenges that should have been addressed by the PSC; in particular 1) stakeholder engagement. The Oil and Gas industry

overall policy guidance, to meet twice a year or more frequently as needed	proceedings of the inception workshop, including changes recommended by the IW. This did not happen. In addition, the PSC has held only two meetings; in May 2015 and August 2016. The minutes of those meetings reflect technical rather than project management/policy oversight discussions.	has not engaged actively with the project, yet their engagement was necessary for effective implementation and delivery of results. 2) Adaptive management – the Delta region is at the best of times a politically charged region. Changes in prices of crude oil in the last 5 years has introduced uncertainties for the oil and gas industry and made the conditions for project implementation harder. The PSC should have provided the necessary guidance to the project to navigate through the changed circumstances. In the absence of their guidance, the project struggled to engage the oil and gas sector and indeed government partners. This was exacerbated by the fact that the implementation changed from DEX to NIM and two senior staff members were not recruited (National Director and CTA) – see section below. As a result most of the project milestones have been missed.
Project Executive Committee (PEC) and the Consultative Group	These committees were not formally constituted. Although there are no minutes or records of meetings of these committees, the MTR finds that adhoc consultation was done on some issues.	The project would have benefitted greatly from the additional technical input from formalized executive committee and consultative group, especially in the absence of the CTA on mainstreaming. As a result, the MTR finds that the project struggled with implementation and mainstreaming, contributing to the very low progress towards outcomes.
Project Management - National Project Director, Chief Technical Advisor Mainstreaming, National Team Leader and admin staff.	The MTR finds no evidence of the appointment of, or active participation of a National Project Director. The CTA was not recruited due to difficulty of identifying an international professional interested in taking up the position, and the National Team Leader acted as the Project Manager.	<p>The lack of active participation of the National Project Director exacerbated the lack of PSC input into the project and is reflected in the extremely inadequate stakeholder engagement in the project. Despite the active involvement and interest of the O&amp;G sector during the project formulation, only Shell company engaged in the initial stages of the project implementation, but that petered out. Government involvement in project implementation has been minimal, especially in the Delta States. The MTR finds evidence that participation by the State Governments was reduced from the driver of the project foreseen in the Prodoc to random participation in workshops and such events by a few individuals. There was therefore no systematised participation, which reduces the effectiveness of implementation, mainstreaming and progress towards the outcomes.</p> <p>The lack of CTA (Mainstreaming) affected the project in three key ways: 1) It compromised the ability of the project to adopt an implementation strategy that would optimise opportunities for mainstreaming. Thus the relevant stakeholders were not engaged in work planning sessions, or actual implementation, reducing the chances of mutual learning and adaptive management. 2) The workload for the project was too much for one individual – the Project manager, especially given the minimal involvement of other stakeholders. The project has therefore missed major milestones. 3) Technical quality of most of the project work and products is weak on mainstreaming of biodiversity. This is particularly evident in the community biodiversity</p>

		action plans, whose formulation had very limited community participation in assessing the relevant resources, threats to biodiversity, possible conservation measures, and prioritisation of costed conservation measures or participatory monitoring systems.
Implementation modality	Changed from DEX to NIM	<p>While NIM increases probability of sustainability, the project implementation did not embrace a full NIM modality. This might be due to the fact that the project management arrangement section of the Prodoc was not revised. Thus relevant government departments and community groups were not fully engaged in the project implementation, which is common under NIM. The MTR finds that the change from DEX to NIM did not yield benefits that would improve sustainability, while it contributed to the inadequate engagement of the O&amp;G sector. This contributed to the delayed milestones and the poor progress towards outcomes.</p> <p>The switch from DEX to NIM may also have contributed to the weak systems used for project management. A case in point is the poor record keeping of the project. The MTR has difficulty accessing project management related records such as minutes of the Steering Committee meetings, BD Tracking Tools or the Capacity NDCP cards. This is further elaborated in the M&amp;E section.</p>

45. In summary the changes made to the implementation arrangements reduced the clarity and effectiveness by weakening responsibilities and reporting lines, transparency and timeliness of decision-making. The level of support from the Executing Agency and GEF Partner Agency was below expectations and needs to be improved significantly for the remaining period. UNDP should have ensured that the impacts of the changed management arrangements are mitigated, that PSC meetings were held and that stakeholder engagement was secured. The MTE finds despite training on UNDP project implementation processes, the PMU is still unfamiliar with many project management concepts, which has exacerbated all the other challenges faced by the project, and contributed to the low level of implementation and progress towards results/targets.

- 1) *Lesson: It is very important to revise the project management arrangements section of the project document if implementation modality is changed at inception, to avoid confusion during implementation.*
- 2) *Lesson: This is a very complex project whose workload had been well matched with the recommended management implementation arrangement, including a staff contingent of a CTA, National Project Director, National Team Leader and local and international consultants; supported by an active Project Steering and technical committees. Changing these arrangements without putting in place a contingent plan to manage the consequent risks should have been avoided.*
- 5) *Recommendation: UNDP needs to strengthen its technical support to the project;*
- 6) *Recommendation: The PMU, with the support of the PSC should assess the current management arrangements, identify strengths and weaknesses, and take remedial measures to ensure that the revised project strategy delivers the best results possible should the project be granted the recommended two year cost neutral extension; focussing on community level biodiversity conservation programs.*

### 2.3.2 Work Planning - Moderately Unsatisfactory

46. The MTR finds that the project has missed key milestones as outlined in the table below.

Table 7: Key Project Dates

Event	Planned date	Comment
PIF Approval Date	Nov 13, 2009	
CEO Endorsement Date	Apr 12, 2011	
Project Document Signature Date (project start date):	Sep 26, 2012	Although the Project signature date was September 2012, the inception workshop was held slightly more than a year later (December 2013). Hence the start of the project was delayed by one year.
Date of Inception Workshop	December 2013	
Expected Date of Mid-term Review	Mar 26, 2015	The MTR is being held in October-November 2017.
Actual Date of Mid-term Review	December 2013	Even taking into consideration the one year delay in start-up, this milestone is being achieved four years after project start-up.
Expected Date of Terminal Evaluation	Jun 26, 2017	It is recommended that the terminal evaluation be undertaken in June 2019.
Original Planned Closing Date	Dec 31, 2017	It is recommended that the project closure be moved to December 2019.
Revised Planned Closing Date	(not set or not applicable)	

47. The MTR finds that although project implementation is being guided by the Multi-Year work plan complemented by Annual Work plans, work planning processes have not been in line with a NIM model of implementation. The participation of key implementing partners has been limited, which has contributed to the considerable delays in delivering project outputs and results. The MTR finds that overall project implementation (indicated by production of outputs) is at 29% (Table 8 below).

Table 8: Estimated Percentage implementation by Output

Outcome		%age implem entatio n	Explanation
<b>Outcome 1</b> – The governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta is strengthened.			
Output 1.1 IBAT for the Niger Delta is in place and operational.	Activity 1: Strengthen IBAT application for the Niger Delta (ND).	50%	This activity was to be implemented by the Nigeria Conservation Foundation (NCF), which started off well. However, the head of the institution died in a plane accident and consequently the NCF lost most of its professional staff. A report was produced that required further work.
	Activity 2: Develop a Nigerian-based, Niger Delta specific portal linked to IBAT	0%	Due to the incomplete nature of activity 1 and the loss of capacity for the NCF. The project is yet to replace the NCF with another capable partner.
Output 1.2 Action Plan for Community-level Biodiversity Mainstreaming in the Niger Delta is developed and implemented.	Activity 1: Elaborate a Niger Delta Biodiversity Action Plan	0	A Niger Delta-wide BAP has not been elaborated. However, more than 20 Community Biodiversity Action Plans (CBAPs) have been formulated – reported under output 2.2.
Output 1.3. The biodiversity elements	Activity 1: Mainstream biodiversity criteria and	100%	

of legal and policy frameworks governing the O&G sector and its regulation are strengthened.	objectives into the EIA process affecting the O&G sector in the Niger Delta		
	Activity 2: Broaden the Department of Petroleum Resources' (DPR) "Policy Document for the O&G Industry" and elaborate practical guidance for incorporating biodiversity conservation objectives into all phases of O&G project cycle	0%	The Department of Petroleum Resources' (DPR) did not appreciate the project taking on this responsibility. The PSC could have been used to mitigate the discussion and secure buy-in of the DPR but as reported under the Management Arrangement section, the PSC was not effectively used to provide guidance to project implementation.
	Activity 3: Provide strategic biodiversity mainstreaming input to final stages of Petroleum Industry Bill discussions in the National Assembly	0%	By the time project implementation started, it was too late to provide an input into the Petroleum Industry Bill discussions in the National Assembly
	Activity 4. Produce a specific "biodiversity update" for NOSDRA's and DPR's existing oil spill contingency plan(s) for the Delta	100%	
Output 1.4. The capacity of key Federal and State government agencies to assess and mitigate the risks and threats to biodiversity from the O&G sector in the Niger Delta is strengthened	Activity 1. Conduct a training needs assessment	50%	This activity is currently on-going.
	Activity 2: Develop and conduct annual "Niger Delta Biodiversity Leadership" capacity building program	0%	This is yet to start
	Activity 3: Develop a scholarship program for funding by PTDF	0%	
	Activity 4: Elaborate short course teaching modules on key biodiversity topics for use in Delta-area schools and training institutes	50%	The guideline for developing short courses has been produced. The short courses themselves are yet to be produced and accepted by the relevant institutions
<b>Outcome 2</b> – Government, the O&G industry and local communities build and pilot new biodiversity action planning tools for the proactive biodiversity management in the Niger Delta.			
Output 2.1. An agreed approach for O&G company Biodiversity Action Plans (BAPs) for the Niger Delta is achieved.	Activity 1: Produce an O&G BAP guide for the Niger Delta	33%	Guidelines for elaborating Biodiversity Action Plans (BAPs) for O&G sector was developed. However, it has not yet been discussed with the relevant stakeholders or widely adopted.
Output 2.2: A participatory process is instituted for the pilot demonstration of community-engagement in BAP for mainstreaming biodiversity management objectives into O&G project lifecycle.	Activity 1: Elaborate Community BAP profiling community priorities and roles across O&G BAP's main steps	50%	As reported under activity 1 of output 2.1), more than 20 Community Biodiversity Action Plans (CBAPs) have been formulated. However, they do not relate to the Delta-wide O&G biodiversity action plan because it has not been formulated. A review of the CBAPs show limited community participation in identifying resources, threats and actions needed to ensure conservation. They are lacking costed action plans and sources of funds for their implementation as well as participatory M&E plans to guide their implementation

	Activity 2: Implement the Community BAPs	40%	The Community Biodiversity Action Plans (CBAPs) are under implementation; however, as explained above, they still require considerable work to qualify as actual CBAPs.
Output 2.3: O&G BAPs are independently reviewed as a means to improve corporate biodiversity mainstreaming practices	Activity 1: Undertake on-going independent reviews of existing or new BAPs and biodiversity-related activities under development to assess progress and to identify opportunities for strengthening existing plans and actions and for establishing new BAPs	20%	Only Shell company has a Biodiversity Action Plan. It agreed to a first round of independent reviews of its BAP but refused further collaboration on further reviews. As reported elsewhere, the Project Steering Committee was not effectively used to maintain collaboration amongst all project partners and to resolve difficult issues related to collaboration.
Output 2.4. Niger Delta Biodiversity Mainstreaming Knowledge Management and Development Program is effective in informing mainstreaming practices in the Region	Activity 1. Work under this output will focus on helping FMoE and the Niger Delta Biodiversity Trust (Outcome 3) to build a Delta-wide biodiversity “best practice” dissemination and replication program	0%	This activity was to be implemented after the establishment of the Niger Delta Biodiversity Trust, which has not been set up.
	Activity 2. Peer-to-peer training for local community leaders from around the Delta in the methods and practices of engaging with the O&G sector for biodiversity sustainable use and conservation	0%	This activity has not been implemented yet since the O&G sector has not actively engaged in the project.
<b>Outcome 3</b> Stakeholders support long-term biodiversity management in the Niger Delta by capitalizing and accessing the Niger Delta Biodiversity Trust as a collaborative engagement mechanism for local communities, O&G companies and Government at its core.			
Output 3.1. Niger Delta Biodiversity Trust legally established with a transparent management structure, to enable the efficient and transparent allocation of resources to biodiversity conservation priorities in the Delta.	Activity 1: Establish the NDBT	33%	The structure of the NDBT has been developed but the establishment of the NDBT has been suspended with advice from UNDP, because the capitalization of such Trust Funds through UNDP or GEF funds is not catered for under the financial rules of UNDP. As explained above, UNDP and GEF projects can support activities implemented by an existing Trust Fund, such TF having been established through other funding sources (i.e. non-GEF and non-UNDP).
Output 3.2. NDB Trust Capitalization: Compacts with O&G companies to capitalize the Niger Delta Biodiversity Trust are successfully negotiated.	Activity 1. Negotiations with O&G companies and Federal and State Governments to capitalize the first tranche of funding for the NDBT in year 4 of the project	0%	This was to be implemented along with the establishment of the NDBT, which has been suspended.
Output 3.3. Organized communities, partnerships of communities and NGOs, and NGOs and Government, Universities, in the	Activity 1. Establish a core mechanism to enable and sustain collaboration among local communities, state and federal authorities and the O&G companies	50%	A core mechanism has been outlined but it will not be rolled out since the NDBT will not be established.

Niger Delta at large have the capacity to and count on an appropriate mechanism to access funding from the Trust.			
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48. Although the project plans are results based, the project has not effectively used the logframe as a management tool, demonstrated in two ways: 1) a 29% implementation level with near zero delivery on results in four years of project implementation, with 59% of budget expenditure and an MTR delayed by nearly two years ought to have raised a greater level of concern among the PMU and the PSC; 2) The assumptions identified during project design all played out and became serious challenges to project implementation and ability to deliver results, yet there has been no revision of the logframe or report of these new challenges in the PIR. Furthermore, the stakeholders engaged in the project implementation have little knowledge of the logframe, due to their limited participation in the work planning processes. More effective use of the logframe as a management tool would have ensured that those with the responsibilities for project management recognize the significant delays in delivering milestones, seek the guidance of the Project Steering Committee in addressing the challenges causing delayed implementation, and utilize adaptive management to speed up delivery.

7) *Recommendation – The project should seek a two-year cost neutral extension to compensate for the long period between CEO Endorsement date (Apr 12, 2011) and Inception Workshop (December 2013). This would allow the project to re-orient the project to a more effective management arrangement where the Project Steering Committee and the Technical Committee play a stronger role in guiding implementation. As reported in the Financial Management section, the project has slightly over US\$ 1.5 million unutilized.*

8) *Recommendation – the Project Management Unit, with technical assistance from UNDP needs to revise the logframe urgently, to identify areas of work which the project can consolidate current achievements to deliver some results during the next two years. The MTR recommends that the project drops any further work on outcomes 1 and 3, and focuses the remaining resources on community biodiversity action plans (CBAPs), which can be built into Community Protected Areas. The current CBAPs contain good quality baseline information; to move them into actual community conservation plans will require further engagement with the communities to advance analysis of the threats to their key resources, options for conservation, costed prioritised actions the communities can implement, financial mobilization strategies and a participatory monitoring and evaluation systems to support adaptive management. Although it is doubtful that the process of gazettelement for the Community Protected Areas can be achieved within the two years, formulating them and empowering communities to implement them will address the threats to biodiversity in the area outside the direct control of the O&G sector, which are significant.*

### 2.3.3 Finance and co-finance

49. The project finances are managed in line with the UNDP and the Federal Ministry of Environment financial guidelines. The Total GEF allocation is US\$ 3.61 million; UNDP Trac resources allocation is US\$ 72,000, and co-finance is US\$ 10 million. Expenditure on GEF and Trac resources is shown in Table 9.

Table 9: Budget versus expenditure to date

Outcome	Budget			Cumulative expenditure to-date			Balance		
	GEF	Trac	Total	GEF	Trac	Total	GEF	Trac	Total
1	1,167,000	72,000	1,239,000	1,519,490	31,861.95	1,551,352	-312,352	40,138	-272,214
2	908,500	0	908,500	450,317	0	450,317	458,183	0	458,183
3	1,173,500	0	1,173,500	-319,339	0	-319,339	1,492,839	0	1,492,839
4	361,000	0	361,000	476,387	0	476,387	-105,681	0	-105,681
Total	3,610,000	72,000	3,682,000	2,126,855	31,862	2,158,717	1,532,989	40,138	1,573,127

50. Although both UNDP and FMOE have strong financial systems the MTR received only one Audit report (for the period of Jan to Dec 2016), which was qualified for erroneous posting of expenses by the FMOE, albeit for a small amount (USD2,916); and, some expenses not backed by approved FACE forms. Requests for other Audit reports have not been honoured. The MTR cannot therefore make an evidence based judgement on the state of financial management by the project. The MTR notes over expenditure on outcomes one and four. Without minutes of the Project Steering Committee meetings being made available, it is not possible for the MTR to assess if these budget changes have been approved by the PSC.
- 9) *Assuming that no further audits have been done, it is recommended that one be performed immediately, and the findings used to address any financial management challenges for the recommended next two years of project implementation.*
- 10) *Recommendation – The Project and UNDP should improve the filing systems urgently, to consolidate minutes of PSC meetings, find and keep copies of the Biodiversity Tracking Tool, updated Capacity NDCCPs and Co-finance tables.*

Table 10: Status of Co-finance

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement (US\$)	Actual Contributed at stage of Midterm Review (US\$)	Amount
GEF Implementing Agency	UNDP	Cash	1,000,000.00	72,000.00	7
GEF Implementing Agency	UNDP	Parallel projects	1,500,000.00	1,500,000.00	1
National Government	FMENV	Cash	65,000.00	65,000.00	1
<b>TOTAL</b>			<b>2,565,000.00</b>	<b>1,637,000.00</b>	6
<b>Other sources (partner managed)</b>					
Sources of Co-financing	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO (US\$)	Actual Contributed at stage of MTR (US\$)	Amount
Private Sector	Shell Nigeria	partner - managed	2,000,000	0	
National Government	FMENV	cash	3,000,000	n/a	
National Government	FMENV	In-Kind & Staff	3,150,000	n/a	
<b>TOTAL</b>			<b>8,150,000</b>		

#### 2.3.4 Project-Level Monitoring and Evaluation Systems – Marginally Satisfactory

51. Project monitoring is being done using the project logframe complimented by annual work plans and project reports (quarterly and PIR). Monitoring itself is undertaken primarily via visits to the project sites by the UNDP and the Project Manager. The MTR found no evidence of further refinement of the project monitoring system described in the project document. The project M&E has therefore not been adequately mainstreamed into those of the partner institutions and stakeholders involved with on-site project implementation have not been adequately involved in refinement of an M&E system or actual monitoring and evaluation. As explained in a previous section, the Community Biodiversity Action Plans do not contain M&E systems, and the PSC was not adequately called upon to monitor the project. The lack of a refined participatory M&E system has reduced the effectiveness of the project implementation systems, especially limiting collective learning and adaptive management.
- 11) *Recommendation – The project should design a participatory M&E system, especially to support the implementation of the priorities identified in the process of consolidating project results.*

### 2.3.5 Stakeholder Engagement – Unsatisfactory

52. The MTR finds that project preparation was a highly participatory process, in line with UNDP's and GEF's requirements. The PPG phase included consultations with the project's key stakeholders at the national and local levels, and included visits to the four Delta states and Lagos, the commercial capital of Nigeria and the centre of the O&G industry. State authorities and NGOs participated in consultations with PPG consultants; two workshops were held at the national level and the project was thoroughly discussed. In addition, several bilateral meetings were held, mostly with donors and key stakeholders who could not attend the workshops. A detailed stakeholder analysis and consultation plan was developed and included in the Prodoc. However, the project experienced great difficulties with leveraging necessary partnerships with direct and tangential stakeholders. With the exception of the academic institutions and community leaders, the project either struggled to interest stakeholders to participate, or ignored the roles described in the stakeholder participation plan. Table 11 below summarises the state of stakeholder participation along the stakeholder participation plan. The MTR was unable to meet many of the stakeholders who participated in the project formulation but not in the implementation, with the exception of Shell Company. This is because no such meetings were organized. It is therefore difficult to assess why participation did not pan out as planned.

12) *Recommendation: the PSC, once it re-engages with the project should assess the reasons for the lack of engagement of relevant stakeholders in the project implementation and draw lessons for future project execution.*

Table 11: Status of Stakeholder Consultation

Stakeholder	Planned role during project implementation	Actual role played during implementation
Federal Institutions and Agencies (Parastatals):		
Federal Ministry of Environment, (FMoE)	FMoE is the lead agency within the Nigerian Government for this project. The Project Director will come from FMoE (a senior staff person who will chair SC meetings).	The role of the FMoE was enhanced by the change from UNDP Direct Implementation (DEX) to National Implementation Modality (NIM). However, the National Project Director was not appointed. Participation of the FMoE was however secured through the GEF Focal Point.
National Oil Spill Detection and Response Agency (NOSDRA)	NOSDRA will be a key actor in mainstreaming biodiversity into its oil spill response efforts.	The project tried to engage NOSDRA in the project without success.
National Environmental Standards Regulatory and Enforcements Agency (NESREA)	NESREA was established as a parastatal of the FMoE in 2007 and is responsible for enforcing all environmental laws, guidelines, policies, standards and regulations in Nigeria. It also has the responsibility to enforce compliance with provisions of international agreements on the environment.	Not engaged
Ministry of Niger Delta (MND) - Environmental Management Department (EMD)	MND will be a key actor in the project, participating in important working groups and mainstreaming biodiversity into their remediation prioritization efforts. (Outcome 1.3)	Not engaged
Niger Delta Development Commission (NDDC)	The NDDC will chair the working group to develop the biodiversity action plan for the Niger Delta, which will be based upon the NDDC's "Biodiversity Sector Report." (Output 1.2)	Not engaged
Federal Ministry of Agriculture	The Ministry of Agriculture plays a leading role in agricultural development. Their mandate spans over	Not engaged

Stakeholder	Planned role during project implementation	Actual role played during implementation
	agriculture, but also related activities (livestock rearing, fisheries, produce inspection, forestry).	
Ministry of Petroleum Resources (MPR)	The DPR will be a key participant in the project's law and policy mainstreaming work vis-à-vis the PIB/EIA/EGASPIN process (Output 1.3).	By the time the project implementation started it was too late to influence EGASPIN
Nigeria National Petroleum Corporation (NNPC)	NNPC will be a key player under Outcomes 2 and 3, in helping to lead the way towards improved biodiversity action planning and establishing the NDBT.	The project tried to engage NNPC in the project without success.
Nigerian Petroleum Development Company Limited (NPDC)	NPDC is "engaged in O&G exploration and production activities in the hydrocarbon-rich regions of coastal Nigeria, both onshore and offshore; and more recently, around Equatorial Guinea." Further, NPDC has a stated commitment to Community Development Assistance. <sup>2</sup>	Not engaged
National Petroleum Investment Management Services (NAPIMS)	NAPIMS will likely be an important indirect partner in project activities, signing off on O&G support for biodiversity mainstreaming.	Not engaged
Pipelines Products Marketing Company Limited (PPMC)	PPMC ensures "security of supply of petroleum products to the domestic market at low operating costs" primarily through transport of crude oil via pipelines from the NAPIMS to the NNPC local refineries. <sup>3</sup>	Not engaged
<b>II State Institutions and Agencies.</b>		
State Ministries of Environment or responsible Ministries	Delta, Rivers, Bayelsa and Akwa Ibom States MoE all have a Forestry Department, whose main responsibility is for managing forest reserve lands in their respective state. SMOE will be key participants in most of the project's work, including Outputs 1.1, 1.2, 1.3; 2.2, and 3.1.	The project has involved the State Ministries responsible for Environment; however, the engagement is not systematized through MoUs and their participation is limited to a few individuals.
State Ministries of Agriculture and Natural Resources (SMoA) / Agricultural Development Programmes (ADP)	The four state Ministries of Agriculture and Natural Resources are responsible for managing fisheries in the waters of their respective state through the Fishery Department, whose primary role is to enforce fishing regulations. The ADP of the SMoA are mandated to build capacity of rural communities and farmers and are well positioned to help train rural farmers in activities relevant to community-based conservation and sustainable use. SMoA will be important participants in helping to formulate community level BAPs (Output 2.2)	
Cross River State Forestry Commission (CRSFC)	Cross River may be the place where study tours are organized from the rest of the Delta.	No study tours have taken place yet
Niger Delta University, (NDU) Yenagoa, Bayelsa State	NDU is a fairly new institution in Yenagoa, Bayelsa State. It has a department of crop production technology and forestry with qualified staff able to teach different aspects of biodiversity conservation. May play a role in training under the project (Output 1.4).	The project has engaged university lecturers as consultants in particular to undertake baseline assessments on mangroves and to formulate CBAPs
Rivers State University of Science and Technology (UST), Port Harcourt, Rivers State	The Department of Forestry of the UST has seasoned foresters that have handled biodiversity conservation for Oil and Gas Industries in Bonny, Rivers State. Will play a role in gathering data and information (Output 1.1) and training/capacity building (Output 1.4)	

<sup>2</sup> See: <http://www.npdc-ng.com/>.

<sup>3</sup> See: <http://www.nnpcgroup.com/NNPCBusiness/Subsidiaries/PPMC.aspx>.

Stakeholder	Planned role during project implementation	Actual role played during implementation
University of Uyo (UU), Akwa Ibom State	The Zoology, Forestry and Fishery departments of UU maintain qualified lecturers capable of teaching aspects of biodiversity conservation in terrestrial, aquatic/marine habitats. The Forestry Department is currently conducting ecological studies at the Stubbs Creeks (310 ha) covering 4-5 LGA and at Essien Udim LGA where Mobil operates. The Fishery Department carried out work in partnership with SPDC. The Zoology Department carried out conservation work on manatees, elephants, and primates while the Department of Botany and Ecological Studies has worked on illegal timber harvesting in some communities in Akwa Ibom. Will play a role in gathering data and information (Output 1.1) and training/capacity building (Output 1.4)	
<b>III. Industry Partners</b>		
Oil and gas companies	O&G industry players are key stakeholders in this project. A thorough analysis of these players has been carried out during the PPG phase and an industry engagement plan developed. These are rather thorough and can be found in <b>Error! Reference source not found..</b> O&G partners in the project will be engaged first and foremost through the Oil Production Trade Sector (OPTS) from the Lagos Chamber of Commerce, which plays a catalytic and decision making role on policies for these corporate partners.	With the exception of Shell Petroleum Company, the project did not succeed in securing the engagement of other O&G companies. This is due to the fact that the decline in crude oil prices and resurgence of political uncertainties in the Delta seem to have reduced the interest of the O&G sector in biodiversity conservation.
<b>IV. Non-Government Organizations (NGO)</b>		
Nigeria Conservation Foundation (NCF), Lagos	NCF's has played important roles in a range of environmental policy and institution building in Nigeria over the past two decades. Output 1.1 -- NCF will take the lead on decision support capacity of the IBAT platform.	NCF was actively involved in the IBAT work. However, following changes in the personnel of the institute, the engagement has petered out.
Bioresources Development and Conservation Programme (BDGP), Abuja	May take lead in Output 2.2 – helping communities to develop their BAPs that are linked to O&G BAPs.	Not engaged
Niger Delta Wetlands Centre (NDWC), Yenagoa, Bayelsa State	Output 2.2 – May play a lead role in helping communities to develop their BAPs that are linked to O&G BAPs.	Not engaged
Pro-Natura International (PNI):	Output 1.1; Output 2.2 – May play a lead role in helping communities to develop their BAPs that are linked to O&G BAPs.	Not engaged
Living Earth (Nigeria) Foundation (LENF)	Output 1.1 Information baseline strengthening	Not engaged
River Ethiope Trust Foundation	Output 1.1 Information baseline strengthening.	Engaged with formulation of a CBAP for the protection of the source of River Ethiope
PANDRILLUS	May play a role in developing 1 or more community-based pilot projects for funding under the NDBT (Output 2.2, 3.1).	Not engaged
Delta Environmental Network (DEENET)	Will be an important conduit for replication of community-based mainstreaming actions to different states and areas around the Delta.	Not engaged

Stakeholder	Planned role during project implementation	Actual role played during implementation
<b>V. International Organizations and Agencies</b>		
World Bank	Implementing the Second National Fadama Development Critical Ecosystem Management Project, which is engaging every State MoA and their respective ADP in the Delta.	Lessons have been shared with the Fadama project, especially on the conservation of the Sclater's Guenon, a monkey species endemic to Akwa Ibom State, where both projects have supported the communities to enhance conservation of the habitat for the monkey in Akpan Itam community forest.
UNEP	Environmental Assessment of Ogoniland. This 18 month, US\$10 million project is conducting an extensive environmental assessment of oil impacted sites in the Ogoni region of the Niger Delta in Rivers State. Implemented by UNEP in collaboration with UNDP. The project is being implemented through an extensive, purposeful community-based approach with local government area coordinators and community liaison assistants in each area facilitating community understanding and ownership of the process.	Not engaged

**53. Participation and country-driven processes:** The MTR finds that local leaders support the Community Biodiversity Action Planning process and requested support to implement alternative income generating activities as part of the CBAPs. Although the MTR found evidence of support of the project by national government stakeholders, there is no evidence that these stakeholders play an active role in project decision-making in a manner that would support efficient and effective project implementation. The fact that the National Project Director was not appointed and the minimal involvement of the PSC has certainly affected the effectiveness of the project as reflected in the many missed milestones. It also impaired the effective mainstreaming of biodiversity and weakened the probability of sustaining any results. The MTR Team interacted with only Shell; it is unclear if this reflects lack of support for the project by the O&G sector, which needs to be clarified during the TE. What is clear is that the dismal stakeholder participation in the project implementation has contributed to the slow progress on implementation and delivery on outcomes (results).

3) *Lesson: Like many GEF projects, the NDBP is a complex project whose design was predicated on the active participation of a broad range of stakeholders. It is critical that the project management actively utilize the stakeholder participation plan, ensuring that the relevant partnerships are established. Adaptive management, led by the PSC should be applied to either replace stakeholders unable to actively engage or to modify the project strategy to ensure results are delivered despite the absence of such stakeholders.*

13) *Recommendation: The project management should review the stakeholder participation plan and align it with the revised project strategy, which it should actively implement. It is particularly important to engage the civil society groups with comparative advantage of facilitating community processes if the community conservation plans will be part of the revised project strategy.*

### 2.3.6 Reporting – Unsatisfactory

54. The MTR finds that the project did not adequately utilize the project logframe or M&E to apply adaptive management, even though there were clear opportunities for doing so. Although the Inception Workshop recommended a change of implementation modality from DEX to NIM, this was not reported to the PSC – as the project did not hold a PSC back to back with the IW, which normally approves the recommendations of the IW. Indeed, there is still no evidence of the PSC approving the recommended change (although the Government and UNDP approved the change). The project management arrangements were changed drastically (National Project Director and CTA not recruited, Technical Committees not formed or consulted in project implementation, the stakeholder participation plan was

not adhered to and many of the O&G sector players didn't engage with implementation). Yet the MTR has not found evidence of any of these issues being discussed in the two PSC meetings held in the four years of project implementation, or raised in the PIRs.

55. Four PIR reports have been produced (2015, 2015, 2016 and 2017). The MTR finds that reporting on achievements towards outcomes could have been more accurate, especially in the two latest ones. This would have highlighted the slow pace of both implementation and progress towards targets, and provided an opportunity to discuss the challenges the project faced. The MTR indeed finds that this project should have been rated "high risk" instead of the "low risk" rating in the June 2017 PIR. Thus the project missed opportunities to learn lessons on adaptive management.

14) *Recommendation: The project should use the next PIR report to communicate more accurately about the challenges of implementation and achievements (results), and to alert the relevant authorities to support adaptive management to address them (challenges).*

### 2.3.7 Communications: Marginally Satisfactory

56. **Internal project communication with stakeholders:** The MTR finds that the project did not engage a wide range of stakeholders, but worked with a large group of consultants. Communication was conducted with the consultants regarding their contracts and delivery thereof. However, the MTR finds evidence that the PMU communicated with community leaders (Kings, Heads of villages) for areas that formulated Community Biodiversity Action Plans. The consultants consulted communities on identifying natural resources of importance to local livelihoods in the areas targeted by the CBAPs and conducted training on improved natural resources management and tree planting. However, the project filing system is inadequate, making it difficult to determine if systematic communication took place with all relevant stakeholders and if such communication helped increase stakeholders' awareness of project outcomes and activities and investments in the sustainability of project results.

57. **External project communication:** Although the project does not have a website, it posted several awareness raising publications online or in local and international media - <http://t.guardian.ng/property/niger-delta-biodiversity-project-rescues-endangered-species>; <http://leadership.ng/news/571455/tree-planting-as-panacea-for-biodiversity-conservation-in-ndelta>; <http://www.environewsnigeria.com/gef-undp-biodiversity-scheme-cultural-beliefs-inspire-wildlife-conservation/>; <https://www.newsnigeriatoday.com/undp-gef-moves-to-protect>; Conserving Biodiversity In Niger Delta Through GEF UNDP; <https://leadership.ng/features/567493/conserving-biodiversity>.

58. It has also produced several publications which, if widely disseminated, will increase awareness of the challenges of mainstreaming biodiversity conservation in the Delta and the project impacts (Box 1). However, due to the flawed filing system, it is difficult for the MTR to make a finding on how widely these publications have been disseminated.

4) *Lesson: Although it is necessary to involve local leadership in local resources planning, it is the local resource users who pose threats to biodiversity. They need to be consulted adequately in identifying threats to local biodiversity from natural resource use practices, identifying options for minimising these threats and formulating action plans to manage the threats. This is the cost-effective way of communicating project objectives to those closest to the natural resources and biodiversity of concern.*

15) *Recommendation: The project should clean up the filing systems.*

16) *Recommendation: For the revised project strategy, the project should engage in an effective communication with the relevant stakeholders, internally and externally, to enhance awareness, effective delivery and sustainability of project results.*

#### Box 2: List of Publication and Reports Generated by the Project

- |                                                                                                                                 |
|---------------------------------------------------------------------------------------------------------------------------------|
| 1. Report on Etche Enrichment planting in Oko-Ohia Ala Afara in Etche Local Government Area, Rivers State, Nigeria (2016). Pp14 |
|---------------------------------------------------------------------------------------------------------------------------------|

2. Development of a Governance Framework of law, Policy and Institutional capacity for Mainstreaming Biodiversity Management in the Niger Delta Region of Nigeria (2015) Pp29
3. A guide to developing Biodiversity Action Plans for Oil and Gas Sector in the Niger Delta; Based on IPIECA Guidelines (2015) Pp48.
4. Developing a school Curriculum teaching modules on Biodiversity for use in the Niger Delta Area schools and other institutions (2015) Pp29.
5. BISENI Community Biodiversity Action Plan (2015) (BISENI/CEAP) Pp182.
6. Survey of the status of mangroves in Akwa-Ibom, Bayelsa, Delta and Rivers States (2016) Pp95
7. Delta State Community Protected Area (Report prepared in 2016) Pp22.
8. Owook Ukang Odio Community Action Plan (ODIO-Village) Eket Local Govt Area. Akwa-Ibom State, Nigeria (2016) Pp73.
9. Akai Edoho Idua Community Action Plan Eket Local Govt Area; Akwa-Ibom State (2015) Pp77.
10. Development of Bye-laws/code of conduct for the conservation of scatter Guenon and the enrichment planting of Community Forest (2016) in Ikot Ondo, Akwa-Ibom State Pp21.
11. Rivers State Community Protected Area. Rivers State (2015) Pp14.
12. Bayelsa State Community Protected Area (2016) Pp16.
13. Etche Enrichment Planting in Oko-Ohia Ala Afara in Etche Local Government Area, Rivers State, Nigeria. (2016) Pp10.

## **2.4 Sustainability - Unlikely**

### **2.4.1 Impacts of overall risks to sustainability**

### **2.4.2 Financial Risks to Sustainability - Significant**

59. Financial sustainability was to be ensured through mainstreaming biodiversity considerations into the O&G sector and government programs through the implementation of a delta-wide biodiversity conservation action plan and the formation and capitalisation of the Niger Delta Biodiversity Trust. None of these have happened or are likely to happen. However, if a revised project strategy focuses on expanding the current draft Community Biodiversity Action Plans, the probability of financial sustainability can be increased if the action plans prioritise costed actions and design realistic fund raising programs.

### **2.4.3 Socio-Economic Risks to Sustainability – Significant**

60. There are several social and political risks likely to jeopardize sustainability of project outcomes emanating from the way the project is currently being implemented. The level of State and Federal government participation in decision-making is too low to ensure that governments allocate funding for supporting project initiatives after the GEF project funding is over. The O&G sector has simply not engaged, so it will not provide further funding. Community level engagement has been secured largely through community leaders with limited actual participation in the process of formulating the CBAPs. This is largely because formulation of these CBAPs have been led by academics (University Professors and retired Government Officers) instead of civil society groups with skills and experiences of facilitating participatory processes. The MTR finds that the ownership levels by the stakeholders that matter (State Governments, O&G sector, communities) is insufficient to allow for the project outcomes/benefits to be sustained. However, as explained in the section above, if the revised project strategy focusses on more participatory process of refining Community Biodiversity Action Plans, this will increase ownership by communities and hence the chances of sustaining biodiversity conservation within natural resources use for livelihood activities and local economic development.

### **2.4.4 Institutional Framework and Governance Risks to Sustainability – Significant**

61. Although the project has mainstreamed biodiversity consideration in the EIA, EGASPIN and the Oil Spill Response Plan, adoption of these updated tools is not guaranteed because of the low level of engagement of the relevant government and O&G sector in the project. This is exacerbated by the fact the State Governments do not prioritise biodiversity conservation, the low progress of the project

towards outcomes and the lack of a knowledge management system through which lessons on mainstreaming would have been generated, collated and shared.

#### 2.4.5 Environmental risk to sustainability – insignificant

62. The biodiversity of the Niger Delta is under threat from two invasive alien species, Nypa palm (*Nypa fruticans*) and water hyacinth (*Eichinocloa crassipes*). Nypa palm was introduced in 1906 for a variety of reasons including coastal stabilization and food production. From the extreme eastern seaboard, it has spread westwards and infested the mangrove ecosystem. Construction of transport channels and laying of pipelines and seismic trails have opened once inaccessible swamplands to nypa invasion. Water hyacinth, *Eichinocloa crassipes* has also spread through the rivers, creeks, swamps and temporary water bodies of the delta. It forms a huge mass whose effects range from displacement of native vegetation to suffocation of aquatic biota.
- 17) *Recommendation: The project should design a specific sustainability strategy to guide the implementation of the revised project strategy, should it be granted a two-year extension, focusing on community conservation plans.*
- 18) *Recommendation: The project should engage civil society groups with skills and experiences on participatory biodiversity conservation planning and implementation.*
63. Summary of the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

### 3 Conclusions and Recommendations

#### 3.1 Conclusions

64. The Niger Delta contains biodiversity of global significance. Which is under threat from pollution, habitat degradation and land-use change, over-harvesting of natural resources and invasive alien species. The Niger Delta Biodiversity Project was formulated to mainstream biodiversity management priorities into oil and gas sector development policies and operations in the Niger Delta. Design was based on a highly participatory process involving consultations with O&G sector, relevant Government units, civil society, academia and development partners. An excellent two-pronged project strategy was agreed upon by these stakeholders. First prong was to remove barriers hindering the stakeholders from addressing the threats to biodiversity; second prong was to leverage finance to sustain the project results.
65. The MTR concludes that although the project was a little ambitious, the design was solid, logical and based on a thorough analysis of threats, root causes and barriers. It identified the activities of the oil and gas industry as having very high impacts on biodiversity, especially in the four oil producing states of Akwa Ibom, Bayelsa, Delta and Rivers. Coupled with a solid analysis of policies, legal and institutional frameworks, as well as a careful profiling and initial engagement of the oil and gas industry, the project was able to establish the best entry points for the proposed mainstreaming approach. The goal, objectives, outcomes and outputs selected for implementation are still relevant to threat removal and biodiversity conservation in the Delta. Implemented properly, they can provide incremental catalytic inputs from the GEF to compliment the baseline funding from Government and the O&G sector to mainstream biological diversity management into the Oil and Gas sector. The project strategy can empower key stakeholders with better data and information, new scientific and regulatory tools, strengthened capacity, new “best practice” methods, and a new funding mechanism and platform for collaboration.
66. However, the stakeholders have not implemented the strategy effectively and the project is off-track and should be rated high risk in the PIR. The MTR finds that the issues outlined below have affected implementation negatively:
- iv. **Delayed mobilization:** the Project was endorsed in April 2011, but was signed more than a year later in Sept 2012 and the inception workshop was held more than two years later in December 2013. Effectively project implementation started in January 2014. The nearly 3 year

delay from endorsement to start up has contributed to delayed milestones;

- v. **Changes in project management arrangements:** The project was designed as DEX, which was changed to NIM at inception. However, the project implementation management arrangement was not aligned with the changed implementation mode. In addition, key project staff – National Project Director and the Chief Technical Advisor for Mainstreaming - were not recruited; and, no strategy was put in place to mitigate the negative impact of their absence on the implementation, achieving results and maintaining stakeholder engagement. The entire workload and responsibility for the project was left to the Project Manager, who did not fully understand UNDP-GEF project processes. The PSC was not formerly constituted or consulted to help the PMU address the many challenges the project faced, especially related to stakeholder engagement. The Project Technical Committee was also not constituted or consulted. The absence of the National Project Director, the CTA, the PSC and the Technical committees weakened project management and technical quality of the project products significantly, and contributed to the delayed milestones.
  - vi. **Changes in the oil sector and political atmosphere in the Delta:** A glut in the oil prices reduced incomes for the O&G sector and the State Governments. This contributed to the loss of interest in biodiversity conservation exhibited during the project formulation. This situation could have however been ameliorated if the project had embraced a NIM process more effectively, had used the PSC and the services of a National Project Director.
  - vii. The project has not effectively used the logframe as a management tool, demonstrated in two ways: 1) a 29% implementation level with near zero delivery on results in four years of project implementation, with 59% of budget expenditure and an MTR delayed by nearly two years.
67. **Key achievement (for purposes of communication):** The project focused most of the resources on output 2.2 and has produced 8 Community Biodiversity Action Plans, outlined in the Table below. The process of developing the CBAPs produced considerable information on the state of biodiversity in the communal areas. Information from this and other activities has been published, hence the project has enhanced sharing of knowledge (Box 1 shows list of publications). These CBAPs can form a good basis for a two-year extension, during which community involvement can be enhanced to fully analyse the threats to biodiversity from natural resources exploitation, identify and prioritize costed actions communities can implement to secure biodiversity, formulate funding strategies and empower community institutions with monitoring and knowledge management systems to enhance learning and adaptive management in the implementation of the CBAPs. This should be facilitated by institutions with clear comparative advantage on addressing the poverty, environment and conservation nexus, via community based natural resources management programs that address biodiversity conservation simultaneously with enhancing livelihoods and local economic development. However, it is likely that the sustainability of the CBAPs will be weak due to the lack of policy enabling environment and funding to implement prioritized action plans.

*Table 12: Summary of Project contribution to the Community Conservation Initiatives*

Community	Resource of interest	Project support <sup>4</sup>
1. Ikot Uso Akpan - Ite Local Government	Scalers Guenon Monkey, which is endemic to the region and is in the IUCN Red book of highly threatened flora and fauna.	Project supported the Ikot Uso Akpan community to formulate bylaws to strengthen traditional conservation practices for the Ikot Uso Akpan forest, which is the habitat of the endangered monkey. It has supported some habitat regeneration by selected enrichment planting. The communities would like to extend

<sup>4</sup> Exact data on the initiatives outlined below were not readily available due to the inadequate monitoring and evaluation systems and weak filing systems. It is recommended that the project organize data on exact areas benefitting, number of people involved in awareness raising and or training, species and numbers of tree seedlings provided/planted, etc., before the TE is undertaken. If this is not done it will be difficult to demonstrate the impacts of the project.

		that support to handicraft making to increase alternative household incomes.
2. Ethiopie Trust Foundation: Umuanja Community	The head of River Ethiopie, which is recognized as a shrine for the Umuanja community, and sacred by many other surrounding communities	The project supported the construction of a 20 meter concrete pathway to reduce erosion and enrichment planting of about 0.25 hectares. It also implemented an awareness campaign on watershed protection. Further suggestion for improving this initiative are contained in Annex 10 (Summary of community level interventions by the project).
3. Ughelli South/Uda Local Government Area	Over-exploitation of Raphia palm to produce hand crafts and mats.	The project provided training on sustainable harvesting of Raphia palm and skills on utilizing water hyacinth as an alternative to produce organic fertilizer and articles of art and craft. It also built 6 sheds for women artisans to improve their production environment.
4. Umuaaja sacred Grove	West African Dwarf Crocodile which is threatened by habitat destruction and over-harvesting	The project has provided awareness of the importance of the habitat restoration and protection.
5. Odio Village Idio Eket LG.	Deforestation of the community forest from overharvesting of timbre products	The project has provided enrichment planting in the 5 hectare forest and provided training on sustainable forest products exploitation.

68. Under component 1 biodiversity considerations have been mainstreamed into the EIA, EGASPIN and the Oil Spill Response Plan. However, official approval, implementation and enforcement by government institutions is lagging behind and advocacy work for government to adopt these guidelines and principles, and codify them into law is ongoing, with limited potential for success. This lack of higher level political commitment has significantly weakened the technical implementation of the project, with outputs such as guidelines and strategies being developed but not being adopted or taken up to influence practice and decision-making.

*Table 13: MTR Ratings and Achievement Summary Table for the Niger Delta Biodiversity Project*

Niger Delta Biodiversity Project Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The project was designed to mainstream biodiversity conservation in four states of the Niger Delta - in 600km <sup>2</sup> controlled by oil mining companies and to reduce threats to biodiversity in a spatial area of 46,420 km <sup>2</sup> under community management. Project design involved a large variety of stakeholders across the O&G industry, government, civil society and communities. The logframe reflects a country-driven strategy that is in line with national and state level development and environment needs. Although the design process recognized detailed assumptions regarding externalities and threats to sustainability of project results, most of them became a reality that challenged project implementation considerably. The logframe needs further analysis of assumptions and to incorporate more nuanced gender-sensitive outcomes, with sex-disaggregated indicators in some instances.
Progress Towards Results	Objective: Unsatisfactory	There are no new Biodiversity Action Plans formulated targeting the 600km <sup>2</sup> under oil and gas operations. The area confirmed to have presence of red colobus monkey has reduced, but the extent of reduction is yet to be determined. None of the 25,000 ha of mangrove ecosystems have been put under improved management regimes; the 10,000 ha of barrier Islands have not been put under protection yet, and there are no clear plans for doing so

		<p>within the period of the project. Only one of seven institutions (Shell company) is using the IBAT. The Niger Biodiversity Trust will not be established, following advice from UNDP and there has not been an increase in funds committed to biodiversity conservation by any of the O&amp;G companies. Although 8 Community Biodiversity Action Plans have been designed they still need further work and they have not been designed with the intention of gazettement them as Community Protected Areas.</p>
Outcome 1: Unsatisfactory		<p>There is no change to the Capacity NDCPs and there is no further expansion of taxonomic groups under IBAT. However, the Biodiversity guidelines have been reviewed and incorporated into the EIA process of DPR and NOSDRA.</p>
Outcome 2: Unsatisfactory		<p>The 20% increase in corporate investment of O&amp;G companies in biodiversity management did not materialise yet. Except for Shell Company, no additional companies have adopted model BAP for their inside the fence operations,</p>
Outcome 3: Highly Unsatisfactory		<p>The Niger Delta Biodiversity Trust has not yet been registered or operationalized, hence no progress has been made towards raising the US\$ 3 million. The project will therefore not provide funds for community level projects aimed at reducing pressure on the biodiversity, which would have been financed by the Trust.</p>
Project Implementation & Adaptive Management	Unsatisfactory	<p>The Project implementation modality changed from DEX to NEX but there was no alignment of the project management arrangement with the changed implementation modality. Indeed the National Project Director and Chief Technical Advisor were not recruited with the huge workload and responsibility for the project left to the Project Manager. The arbitrary changes in staffing, PSC and Project Technical Committee, which were not formerly constituted or consulted further weakened stakeholder engagement, rate of project implementation and technical quality of the project outputs. In summary the changes made to the implementation arrangements reduced the clarity and effectiveness by weakening responsibilities and reporting lines, transparency and timeliness of decision-making. The level of support from the Executing Agency and GEF Partner Agency was below expectations and needs to be improved significantly for the remaining period. UNDP should have ensured that the impacts of the changed management arrangements are mitigated, that PSC meetings were held and that stakeholder engagement was secured.</p> <p>Monitoring is being done using the M&amp;E system formulated at project design without further refinement; it is thus not being mainstreamed into the implementing partners' systems. The low level of stakeholder engagement in project implementation has further reduced the effectiveness of using the M&amp;E and knowledge management for upscaling project results.</p> <p>The project enjoys great support from the local leaders (Chiefs, Kings), in the areas where CBAPs are being formulated/implemented. These leaders support the Community Biodiversity Action Planning process and requested support to implement alternative income generating activities as part of the CBAPs. Although the MTR found evidence of support of the project by national government stakeholders, there is no evidence that these stakeholders play an active role in project decision-making in a manner that would support efficient and effective project implementation.</p> <p>The MTR finds that reporting on achievements towards outcomes could have been more accurate in the PIRs. This would have highlighted the slow pace of both implementation and progress towards targets, and provided an opportunity to discuss the challenges the project faced. The MTR indeed finds that this project should have been rated "high risk" instead of the "low risk" rating in the June 2017 PIR. Thus the project missed opportunities to learn lessons on adaptive management.</p>

		Internal communications are carried out adequately amongst the partners involved in project management. The project has produced several communications pieces and a number of technical reports (Box 1) which if widely disseminated will enhance awareness raising among stakeholders about the importance of Niger Delta Biodiversity and the efforts of the project to secure its conservation. The project needs to improve M&E and internal administrative operations, such as filing, in order to gather evidence of project impacts.
Sustainability	Unlikely	<p>Most sustainability factors are lacking. Four of the five risks identified during project design have been realised and affected the project implementation and progress towards outcomes; yet, no further mitigation measures have been formulated to address these risks. They include; 1) a glut in oil prices reducing attention to and investments into biodiversity conservation by the O&amp;G sector and the State Governments; 2) resurgence of political uncertainties increasing insecurity, making it harder and more expensive to implement project activities; 3) communities maintaining high levels of mistrust of governments and O&amp;G companies affecting their willingness to collaborate with them on biodiversity conservation; and, 4) the high levels of threats to biodiversity from over-exploitation of resources in the broader landscape (outside the area controlled by the O&amp;G sector).</p> <p>The project faces significant financial risk to sustainability because of the inadequate success in mainstreaming biodiversity conservation into the O&amp;G companies (no Delta-wide Biodiversity Action Plan was formulated). This will make it harder for the companies to allocate funding for conservation. Indeed, Shell Company, the most engaged in project and biodiversity conservation, has reduced its internal allocation to conservation. In addition, the Niger Delta Biodiversity Trust will not be established, following UNDP decision to stop its establishment using GEF and UNDP funds. It is unlikely that it would have been capitalized with the target US\$ 3 million, given the low level of engagement and prioritization of conservation by both the O&amp;G sector and the State Governments.</p> <p>The project also faces significant risk to socio-economic and governance and institutional set up to sustainability.</p>

### 3.2 Recommendations

Recommendations	Party responsible
1. The MTR finds that the project <u>focused largely</u> on activity 2.2.1 of output 2.2: producing 8 Community Biodiversity Action Plans. Given the challenges of stakeholder engagement (described in the stakeholder engagement section and many other parts of the report), it is recommended that UNDP lead a process of revising the project strategy, to focus the project on further work on the CBAPs. This should include improvement of the CBAPs, in a participatory process, to engage communities to analyze threats to local biodiversity from natural resources use, identify actions to address the threats, prioritize costed actions, formulate resource mobilization plans, put in place institutional capacities at the local level to support sustained implementation of the action plans while mobilizing further resources and formulate participatory monitoring and knowledge management plans to support adaptive management and learning. This process should be facilitated by civil society groups with skills and experiences on community based natural resources management, biodiversity conservation and local economic development, based on alternative livelihood support options. Implementation of the strategy should be supported by a gender mainstreaming strategy.	UNDP and the PSC
2. UNDP needs to strengthen its technical support to the project.	UNDP

3. The PMU, with support with the PSC should assess the current management arrangements, identify strengths and weaknesses, and take remedial measures to ensure that the revised project strategy delivers the best results possible should the project be granted the recommended two-year cost neutral extension; focusing on community level biodiversity conservation programs.	PSC
4. The project should seek a two year cost neutral extension to compensate for the long period between CEO Endorsement date (Apr 12, 2011) and Inception Workshop (December 2013). This would allow the project to re-orient the project to a more effective management arraignment where the Project Steering Committee and the Technical Committee play a stronger role in guiding implementation. As reported in the Financial Management section, the project has slightly over US\$ 1.5 million unutilized.	PSC, UNDP
5. The project management unit, with technical assistance from UNDP needs to revise the logframe urgently, to identify areas of work which the project can consolidate current achievements to deliver some results during the next two years. The MTR recommends that the project drops any further work on outcomes 1 and 3, and focuses the remaining resources on community biodiversity action plans (CBAPs), which can be built into Community Protected Areas. The current CBAPs contain good quality baseline information; to move them into actual community conservation plans will require further engagement with the communities to advance analysis of the threats to their key resources, options for conservation, costed prioritized actions the communities can implement, financial mobilization strategies and a participatory monitoring and evaluation systems to support adaptive management. Although it is doubtful that the process of gazettelement for the Community Protected Areas can be achieved within the two years, formulating them and empowering communities to implement them will address the threats to biodiversity in the area outside the direct control of the O&G sector, which are significant.	PSC and the PMU
6. Assuming that no further audits have been done, it is recommended that one be performed immediately, and the findings used to address any financial management challenges for the recommended next two years of project implementation.	UNDP
7. The Project and UNDP should improve the filing systems urgently, to consolidate minutes of PSC meetings, find and keep copies of the Biodiversity Tracking Tool, updated Capacity NDCPs and Co-finance tables.	PMU
8. The project should design a participatory M&E system, especially to support the implementation of the priorities identified in the process of consolidating project results.	PMU
9. The PMU should follow-up with co-finance and update this table for the TE.	PMU
10. The Project Management Unit should review the stakeholder participation plan and align it with the revised project strategy, which it should actively implement. It is particularly important to engage the civil society groups with comparative advantage of facilitating community processes if the community conservation plans will be part of the revised project strategy.	PMU and PSC
11. The project should use the next PIR report to communicate more accurately about the challenges of implementation and achievements (results), and to alert the relevant authorities to support adaptive management to address them (challenges).	UNDP
12. The project should clean up the filing systems.	PMU
13. The PSC, once it re-engages with the project should assess the reasons for the lack of engagement of relevant stakeholders in the project implementation and draw lessons for future project execution	

14. For the revised project strategy, the project should engage in an effective communication with the relevant stakeholders, internally and externally, to enhance awareness, effective delivery and sustainability of project results.	PMU, PSC
15. The project should design a specific sustainability strategy to guide the implementation of the revised project strategy, should it be granted a two-year extension, focusing on community conservation plans.	PMU, PSC
16. The project should engage civil society groups with skills and experiences on participatory biodiversity conservation planning and implementation.	PSC, UNDP

### 3.3 Summary of Lessons

Lesson 1: It is very important to revise the project management arrangements section of the project document if implementation modality is changed at inception, to avoid confusion during implementation.

Lesson 2: This is a very complex project whose workload had been well matched with the recommended management arrangement, including a staff contingent of a CTA, National Project Director, National Team Leader and local and international consultants; supported by an active Project Steering and technical committees. Changing these arrangements without putting in place a contingent plan to manage the consequent risks should have been avoided.

Lesson 3: Like many GEF projects, the NDBP is a complex project whose design was predicated on the active participation of a broad range of stakeholders. It is critical that the project management actively utilize the stakeholder participation plan, ensuring that the relevant partnerships are established. Adaptive management, led by the PSC should be applied to either replace stakeholders unable to actively engage or to modify the project strategy to ensure results are delivered despite the absence of such stakeholders.

Lesson 4: Although it is necessary to involve local leadership in local resources planning, it is the local resource users who pose threats to biodiversity. They need to be consulted adequately in identifying threats to local biodiversity from natural resource use practices, identifying options for minimising these threats and formulating action plans to manage the threats. This is the cost-effective way of communicating project objectives to those closest to the natural resources and biodiversity of concern.

## **4 Annexes**

### **4.1 Annex 1: MTR ToR (excluding ToR annexes)**

#### **UNDP-GEF: MIDTERM REVIEW FOR THE NDBP PROJECT**

##### **INTRODUCTION**

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled “Niger Delta Biodiversity Conservation Project (NDCP) (PIMS 4090) implemented through the Federal Ministry of Environment, which is to be undertaken in 2017. The project started in December 2013 and is in its fourth year of implementation. This MTR process was initiated before the submission of the third Project Implementation Report (PIR). This ToR sets out the expectations for the MTR. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

## **2. PROJECT BACKGROUND INFORMATION**

This project’s goal is to contribute to the conservation and sustainable use of globally significant biological diversity in the Niger Delta. The project objective is “to mainstream biodiversity management priorities into the Niger Delta oil and gas (O&G) sector development policies and operations.” The project’s three main outcomes designed to achieve this objective are: 1) Stakeholders strengthen the governance framework of law, policy, and institutional capacity to enable the mainstreaming of biodiversity management into the O&G sector in the Niger Delta; 2) Government, the O&G industry and local communities adopt and pilot new biodiversity action planning tools for proactive biodiversity mainstreaming in the Niger Delta; 3) Stakeholders support long-term biodiversity management and the use of these new tools in the Niger Delta by capitalizing the Niger Delta Biodiversity Trust with a collaborative engagement mechanism for local communities, O&G companies and Government at its core. Each of the three outcomes of this project reflects the project’s (and UNDP’s) focus on strengthening the governance of biodiversity in the Niger Delta. By mainstreaming biodiversity into the O&G sector of the Niger Delta, the project is strengthening the governance of those resources.

The geographic focus of the project is on the four core Nigerian States within the Niger Delta (Akwa Ibom, Bayelsa, Delta, and Rivers States), which combined encompass an area of 46,420 km<sup>2</sup> (the ‘indirect landscape mainstreaming target’). The physical footprint of the O&G company assets within this area is admitted by the industry to be 600 km<sup>2</sup>, which is considered the project’s initial ‘direct landscape mainstreaming target’ The project will bring improved biodiversity management to these areas indirectly and directly, respectively, as measured by improved state of globally significant species and ecosystems, legal and policy frameworks that incorporate biodiversity objectives, and O&G companies adopting best practice for biodiversity actions. A key result will be the establishment of a long-term funding mechanism for mainstreaming biodiversity into the O&G sector, called the Niger Delta Biodiversity Trust.

## **3. OBJECTIVES OF THE MTR**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy and its risks to sustainability.

## **4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The

MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>5</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.<sup>6</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Federal and State Ministries of Environment, community groups and NGOs, key experts and consultants in the subject area, etc. Additionally, the MTR team is expected to conduct field missions to the Niger Delta, with the exception of Bayelsa.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

## 5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

### i. Project Strategy

#### Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

#### Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

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<sup>5</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

<sup>6</sup> For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

## ii. Progress Towards Results

### Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#); colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

17.

1. *Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)*

Project Strategy	Indicator <sup>7</sup>	Baseline Level <sup>8</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>9</sup>	End-of-project Target	Midterm Level & Assessment <sup>10</sup>	Achievement Rating <sup>11</sup>	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Output 1.1 ETC</b>								

### 18. Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

19.

## iii. Project Implementation and Adaptive Management

### Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

### Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.

<sup>7</sup> Populate with data from the Logframe and NDCPcards

<sup>8</sup> Populate with data from the Project Document

<sup>9</sup> If available

<sup>10</sup> Colour code this column only

<sup>11</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

#### Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

#### Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

#### Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

#### Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

#### **iv. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

##### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

##### Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

20.

##### Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

##### Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

#### **Conclusions & Recommendations**

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.<sup>12</sup>

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

#### **Ratings**

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

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<sup>12</sup> Alternatively, MTR conclusions may be integrated into the body of the report.

2. *Table. MTR Ratings & Achievement Summary Table for the Scaling up community resilience to climate variability and climate change in Northern Nigeria, with a special focus on women and children*

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## TIMEFRAME

The total duration of the MTR will be approximately 30 days over a period of 8 weeks starting immediately after signing the contract, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
<i>August to September</i>	Review of Project and background documents
<i>September</i>	Finalization and Validation of MTR Inception Report- latest start of MTR mission
<i>October 16<sup>th</sup> to 18<sup>th</sup> 2017</i>	MTR mission: stakeholder meetings, interviews, field visits
<i>October 18<sup>th</sup> 2017</i>	Mission wrap-up meeting & presentation of initial findings-earliest end of MTR mission
<i>October – November</i>	Preparing draft report Incorporating audit trail from feedback on draft report/Finalization of MTR report
<i>November</i>	Preparation & Issue of Management Response
<i>December 10<sup>th</sup> 2017</i>	Expected date of full MTR completion

Options for site visits should be provided in the Inception Report.

## 6. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	<b>MTR Inception Report</b>	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission:	MTR team submits to the Commissioning Unit and project management
2	<b>Presentation</b>	Initial Findings	End of MTR mission:	MTR Team presents to project management and the Commissioning Unit

<b>3</b>	<b>Draft Final Report</b>	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission:	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFF
<b>4</b>	<b>Final Report*</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft:	Sent to the Commissioning Unit

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

## **7. MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is United Nations Development Programme (UNDP) Nigeria Country Office in Windhoek.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within Nigeria to the various project sites for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

## **8. TEAM COMPOSITION**

A team of two independent consultants will conduct the MTR - one international consultant with experience and exposure to projects and evaluations in other regions globally, and one national expert. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies (10 points);
- Experience applying SMART indicators and reconstructing or validating baseline scenarios (10 points);
- Competence in adaptive management, as applied to Climate Change Adaptation (10 points);
- Experience working with the GEF or GEF-evaluations (10 points);
- Experience working in Africa (10 points);
- Work experience in relevant technical areas for at least 10 years (10 points);
- Demonstrated understanding of issues related to gender and Climate Change Adaptation; experience in gender sensitive evaluation and analysis (10 points);
- Excellent English communication skills (5 points);
- Demonstrable analytical skills (5 points);
- Project evaluation/review experiences within United Nations system will be considered an asset (10 points);
- A Master's degree in Biodiversity Management, Climate Change, Environmental Sciences, Natural Resources Management, Agriculture, Land Management, Water Resources Management or other closely related field (10 points).

## **9. PAYMENT MODALITIES AND SPECIFICATIONS**

10% of payment upon approval of the final MTR Inception Report

30% upon submission of the draft MTR report

60% upon finalization of the MTR report

## 4.2 Annex 2: MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Evaluation subject	Evaluation questions	Tools and methods
Project strategy	<ul style="list-style-type: none"> <li>What challenges did the project seek to address?</li> <li>What was the ToC used to identify and select components, outcomes, outputs and activities?</li> <li>What are the underlying assumptions?</li> <li>Have any of the risks and assumptions played out and what is the effect on implementation and achievement of results?</li> <li>Were any assumptions incorrect or missed out entirely?</li> <li>Have they played out and what is the effect on implementation and delivery of results?</li> <li>Was the threat-root-cause barrier analysis comprehensive and on-target?</li> <li>Have new threats and/or barriers emerged?</li> <li>Is there room for adaptive management to tackle new threats, barriers?</li> <li>Relevance: Are the issues/challenges being addressed by the project relevant to national development and livelihoods?</li> <li>In which way are they relevant?</li> <li>Are they government priority and if so where are these priorities stated?</li> <li>What lessons were used to influence project design?</li> <li>Have those lessons proven to be useful yet in project implementation?</li> <li><b>Decision-making processes:</b></li> <li>Which groups are likely to be affected by the project, including benefitting from it?</li> <li>Was project design done in a truly participator manner?</li> <li>Was gender perspectives factored into project design and reflected in the participatory design process?</li> <li>If not, why not and what has been the impact of this non participatory design process on implementation and project ownership?</li> <li>Where is the evidence of participation by the relevant groups?</li> <li>If there are major areas of concern, recommend areas for improvement.</li> </ul>	<p>Review of project documents:</p> <ul style="list-style-type: none"> <li>➤ (prodocs, Inception report, PIRs);</li> <li>➤ Minutes of project steering committee (Board) meetings;</li> <li>➤ Tracking tools</li> <li>➤ Technical publications;</li> <li>➤ Government policies/strategies on adaptation;</li> </ul> <p>Focus group and individual interviews with relevant groups of stakeholders and key informants, respectively, using structured interview questionnaires;</p> <ul style="list-style-type: none"> <li>➤ PMU</li> <li>➤ Members of the Project Board</li> <li>➤ Key informants in participating Ministries and Ministries responsible for various aspects of adaptation and agriculture;</li> </ul>
Results Framework /Log-frame	<ul style="list-style-type: none"> <li>Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?</li> <li>Are the log-frame indicators and targets "SMART" and gender disaggregated?</li> <li>Has progress made so far led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.</li> <li>How are the catalysing effect of the project results being monitored?</li> </ul>	
Project Implementation and Adaptive Management	<ul style="list-style-type: none"> <li>What is the current project management arrangement?</li> <li>What are the SWOT of the current project management arrangements?</li> <li>Has it been effective?</li> <li>Are responsibilities and reporting lines clear?</li> <li>Is decision-making transparent and undertaken in a timely manner?</li> <li>Has the Executing Agency/Implementing Partner(s) facilitated project execution adequately?</li> <li>What are the recommendations for improvement?</li> <li>What lessons can be drawn from this arrangement?</li> <li>Has the GEF Partner Agency (UNDP) supported project execution effectively?</li> </ul>	

	<ul style="list-style-type: none"> <li>• What are the key challenges of project execution?</li> <li>• What recommendations?</li> </ul>	
Work Planning:	<ul style="list-style-type: none"> <li>• Is project implementation in line with the timeline set in the Prodoc?</li> <li>• If there were delays what caused them?</li> <li>• What is the likely implication of any delays on the rest of the project timeline?</li> <li>• Has adaptive management effectively resolved any issues of delays? If no, why not?</li> <li>• Are work-planning processes results-based?</li> <li>• Has the results framework/ log-frame been used as a management tool?</li> <li>• To what end? Has it worked well and if not why not?</li> <li>• What recommendations?</li> </ul>	<p>Review of project documents:</p> <ul style="list-style-type: none"> <li>➤ (prodocs, Inception report, PIRs);</li> <li>➤ Minutes of project steering committee (Board) meetings;</li> <li>➤ Tracking tools</li> <li>➤ Technical publications;</li> <li>➤ Government policies/strategies on adaptation;</li> </ul>
Finance and co-finance	<ul style="list-style-type: none"> <li>• What is the level of expenditure to-date?</li> <li>• Is this level in line with the original plans in the project budget?</li> <li>• If not, why have changes occurred? And what are the exact changes?</li> <li>• Have the appropriate approvals been sort and provided for these changes?</li> <li>• Has the project been cost effective and what criteria can we use to determine this?</li> <li>• Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?</li> <li>• Has the project mobilized extra funding?</li> <li>• Has it accessed any co-finance?</li> <li>• Is co-finance being monitored to confirm the expected situation at project design stage?</li> </ul>	<p>Focus group and individual interviews with relevant groups of stakeholders and key informants, respectively, using structured interview questionnaires;</p>
Project-level Monitoring and Review Systems	<ul style="list-style-type: none"> <li>• Does the project use an M&amp;E system?</li> <li>• Does it involve key partners in M&amp;E?</li> <li>• Is the M&amp;E linked to partner institutions' systems?</li> <li>• Does M&amp;E provide the necessary information efficiently/effectively?</li> <li>• Is it considered cost-effective?</li> <li>• Are additional tools required to make M&amp;E more participatory and inclusive?</li> <li>• Are sufficient resources being allocated to monitoring and review?</li> <li>• Are these resources being allocated effectively?</li> </ul>	<ul style="list-style-type: none"> <li>➤ PMU</li> <li>➤ Members of the Project Board</li> <li>➤ Key informants in participating Ministries and Ministries responsible for various aspects of agriculture and Adaptation;</li> <li>➤ Regional Councils;</li> <li>➤ Selected Beneficiaries</li> </ul>
Stakeholder Engagement	<ul style="list-style-type: none"> <li>• Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?</li> <li>• Do local and national government stakeholders support the objectives of the project?</li> <li>• Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?</li> <li>• To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives</li> </ul>	
Reporting and communication	<ul style="list-style-type: none"> <li>• Have changes made via adaptive management been reported by the project management and approved by the Project Board.</li> <li>• How well do the Project Team and partners understand and undertake UNDP and GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)</li> <li>• Have lessons derived from the adaptive management process been documented, shared with key partners and internalized by partners?</li> <li>• How is internal project communication with stakeholders done?</li> <li>• Is it regular and perceived to be effective? What is the evidence of that?</li> <li>• Are there key stakeholders left out of communication?</li> <li>• Are there feedback mechanisms when communication is received?</li> <li>• Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?</li> </ul>	

	<ul style="list-style-type: none"> <li>How does the project communicate with the broader stakeholders? Via a project website?</li> <li>Has an awareness campaign been mounted?</li> <li>How does the project inform itself of progress in the field of CIEWS?</li> </ul>	
Sustainability	<ul style="list-style-type: none"> <li>Are the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module the most important and are the risk ratings applied appropriate and up to date? If not, why?</li> <li><b>Financial risks to sustainability</b> - What is the likelihood of financial and economic resources not being available once the GEF assistance ends?</li> <li>What plans are in place for mobilizing financial resources to carry on the work – especially implementation of community biodiversity action plans after the GEF Grant?</li> <li>Does the project have an exit strategy to ensure sustainability?</li> <li><b>Socio-economic risks to sustainability:</b> Are there any social or political risks that may jeopardize sustainability of project outcomes?</li> <li>What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?</li> <li>Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?</li> <li>Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?</li> <li>Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?</li> <li><b>Institutional Framework &amp; Governance risks to sustainability:</b> Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?</li> <li>Are there systems/ mechanisms for accountability, transparency, and technical knowledge transfer in place?</li> <li><b>Environmental risks to sustainability:</b> Are there any environmental risks that may jeopardize sustenance of project outcomes?</li> <li><b>What recommendations do you have for any of the issues raised above?</b></li> </ul>	

### 4.3 Annex 3: Sample Evaluation questions used in structured interviews with stakeholders

Stakeholder category	Sample questions
PMU, Ministry of environment extension staff and PSC – all questions are asked of PMU and Federal and State Ministry extension staff. The letters “PSC” are appended to those questions also asked of the PSC	<p>On Progress</p> <ol style="list-style-type: none"> <li>1) An analysis of project implementation to date – going through the logframe, activity by activity, please highlight what has been implemented and key results delivered</li> <li>2) Please summarize how many beneficiaries have so far benefited from each of the key activities/outputs of the project, disaggregated by gender.</li> <li>3) What in your estimation is the percentage implementation per output, when you consider the activities implemented and the results delivered?</li> <li>4) What would you say is the greatest impact of this project in your view, and why? - PSC</li> <li>5) What challenges have you faced related to implementation so far and how have you used adaptive management to address them? - PSC</li> <li>6) What good practices did you experience related to implementation and how did they influence implementation and achievement of results? - PSC</li> <li>7) What lessons have you derived from dealing with either challenges or good practices and how have you captured and/or shared them? - PSC</li> </ol> <p>Related to project design and quality of M&amp;E at entry:</p>

	<ol style="list-style-type: none"> <li>1) Did you participate in the Project Inception Phase/workshop? - PSC</li> <li>2) Have you read the project document and what is your assessment of how well the project design captures the challenges of mainstreaming biodiversity conservation in the Niger Delta and related risks and assumptions - PSC</li> <li>3) In your view, was project formulation process participatory and why do you think it was or it wasn't (where's the evidence)?</li> <li>4) How well do you think the program of work matches the budget proposed? - PSC</li> <li>5) How easy has it been to use the indicators and baseline values provided in the project document to monitor the project's implementation and impacts?</li> <li>6) What, in your view, is the impact of the assumptions outlined in the prodoc? - PSC</li> <li>7) Have any of the assumptions become an enabler or a challenge for implementation or results delivery? - PSC</li> <li>8) How has the PMU monitored risks and assumptions and what do you suggest to change for the project to be successful by TE</li> <li>9) What challenges/good practices have you experienced in relation to project design and indicators, and how did you use adaptive management to solve them? - PSC</li> <li>10) What is the impact of the response to question 6 on the state of implementation today, and what would you do differently? - PSC</li> </ol> <p>On Management implementation arrangement:</p> <ol style="list-style-type: none"> <li>1) What, in your view, is the management implementation arrangement for this project? - PSC</li> <li>2) Is that what was described in the project document or has it been modified? - PSC</li> <li>3) If it has been modified, why was it deemed necessary and what approvals were sought after modifications? - PSC</li> <li>4) Have the modifications been documented and approved? - PSC</li> <li>5) What is the impact of the departure or compliance with the implantation arrangements on the rate of project implementation, delivery of results and the sustainability of expected impacts? - PSC</li> <li>6) What would you do differently – or needs to be modified for the second part of the project lifetime? - PSC</li> </ol> <p>On stakeholder participation</p> <ol style="list-style-type: none"> <li>1) Please describe how stakeholders have participated in the project implementation; - PSC</li> <li>2) Is this state of participation in line with the planned stakeholder participation plan in the prodoc? - PSC</li> <li>3) If there was a change, why was it necessary? - PSC</li> <li>4) Was the change documented and relevant approvals obtained? - PSC</li> <li>5) If not, why not, and what has been the impact of such changes to the overall project, especially the rate of implementation, results delivery and sustainability? - PSC</li> <li>6) How has adaptive management been applied in project implementation related to stakeholder participation? - PSC</li> <li>7) What do you think should be adjusted in order to increase the effectiveness of project implementation and increase chances of sustaining the impacts? - PSC</li> </ol> <p>Regarding reporting and communication</p> <ol style="list-style-type: none"> <li>1) Do you fully understand UNDP and GEF project reporting requirements?</li> <li>2) Are these in line (or supportive) of the governments and Regional Council reporting requirements?</li> <li>3) How many reports (PIRs) has the PMU produced? Have you had any feedback from UNDP, GEF, Government and Regional Councils on the reports?</li> <li>4) How many technical reports has the project produced? If not why not and what is the plan to produce some?</li> <li>5) What needs to be done to increase the quality of reports and number of technical publications out of this project?</li> <li>6) How are you ensuring that practice will inform policy out of this project?</li> <li>7) What communications and awareness raising material has been produced and how is it disseminated?</li> <li>8) How is the project monitoring whether the awareness</li> </ol>
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	<p>On project level M&amp;E</p> <ol style="list-style-type: none"> <li>1) Returning to the issue of indicators, has the project tested their suitability in monitoring project impacts involving beneficiaries and those stakeholders engaged in implementation?</li> <li>2) Has the project formulated a participatory M&amp;E system?</li> <li>3) If not, why not?</li> <li>4) How do you think the lack of a participatory M&amp;E system affects adaptive management of the project and linking practice and policies?</li> <li>5) Has action research been implemented yet?</li> <li>6) If not why not and is there a plan to accelerate its implementation?</li> <li>7) What should be done differently to improve participatory M&amp;E in support of adaptive management and sustainability of results?</li> </ol> <p>On sustainability</p> <ol style="list-style-type: none"> <li>1) What results do you think the project will deliver that need to be sustained? - PSC</li> <li>2) What in your view is the project mechanism to sustain these results? - PSC</li> <li>3) More specifically, what are the mechanisms for ensuring institutions and governance sustainability? Financial sustainability? Environmental sustainability? Socio-economics sustainability? - PSC</li> <li>4) What challenges do you foresee with sustainability along any of these four criteria? - PSC</li> <li>48. What should the project do between now and the TE to secure long-term sustainability? - PSC</li> </ol> <p>On support from PSC and UNDP</p> <ol style="list-style-type: none"> <li>1) How has the PSC supported PMU on any aspects of the project implementation?</li> <li>2) How about UNDP?</li> <li>3) What would you recommend regarding support received from the two going forward?</li> </ol> <p>In general</p> <ol style="list-style-type: none"> <li>1) What issues should the MTR look into that we have not yet discussed? - PSC</li> <li>2) Please summarize the challenges faced by the project on any aspect; - PSC</li> <li>3) Please summarize the good practices you would like to share with the MTR on any aspect of the project- PSC</li> <li>4) Summarize recommendations going forward if the project was to be successful.</li> <li>5) Any other issues? - PSC</li> </ol>
Beneficiaries of Community Biodiversity Action Plans	<p>General participation and beneficitation;</p> <ol style="list-style-type: none"> <li>1) Describe how you have participated in the project and its activities</li> <li>2) What benefits are you deriving from the project?</li> <li>3) What responsibilities do you have regarding the benefits and the project in general?</li> <li>4) How has the project benefits (CBAP) changed your life?</li> <li>5) Have you been involved in monitoring and evaluation of the project?</li> <li>6) What training have you received from the project?</li> <li>7) How has the training made a difference to the way you use natural resources in day-to-day practices?</li> <li>8) What challenges do you still experience with respecting traditionally held rules and regulations on biodiversity conservation – or respect of various aspects of natural resources?</li> <li>9) Have any of your neighbours or friends expressed any interest in taking up the improved practices for conservation of biodiversity or important forests for the community?</li> <li>10) Do you know any that have actually adopted the practices advocated by the project on their own?</li> <li>11) If not what do they say is the challenge?</li> <li>12) How will you sustain the benefits you are getting from the project once the PMU is disbanded?</li> <li>13) What challenges do you foresee for sustaining the impacts and how can you or your leaders/government help to resolve them?</li> <li>14) What recommendations to you have for the project managers and funders in order to improve the way the project is being implemented?</li> </ol>

#### 4.4 Annex 4: Ratings Scales

<b>MTR Ratings for Progress Towards Results:</b> (one rating for each outcome and for the objective)
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6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.
<b>Ratings for Project Implementation &amp; Adaptive Management:</b> (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.
<b>Ratings for Sustainability:</b> (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

#### 4.5 Annex 5: MTR mission itinerary and list of persons interviewed

#### 4.6 Annex 6: List of Publication and Reports Generated by the Project Reviewed For the MTR

69. In addition to the Project Document, CEO Request, Project Implementation Reports (PIRs) for 2015-2016 and 2016-2017, the MTR reviewed the documents listed below.

1. Report on Etche Enrichment planting in Oko-Ohia Ala Afara in Etche Local Government Area, Rivers State, Nigeria (2016). Pp14
2. Development of a Governance Framework of law, Policy and Institutional capacity for Mainstreaming Biodiversity Management in the Niger Delta Region of Nigeria (2015) Pp29
3. A guide to developing Biodiversity Action Plans for Oil and Gas Sector in the Niger Delta; Based on IPIECA Guidelines (2015) Pp48.
4. Developing a school Curriculum teaching modules on Biodiversity for use in the Niger Delta Area schools and other institutions (2015) Pp29.
5. BISENI Community Biodiversity Action Plan (2015) (BISENI/CEAP) Pp182.
6. Survey of the status of mangroves in Akwa-Ibom, Bayelsa, Delta and Rivers States (2016) Pp95
7. Delta State Community Protected Area (Report prepared in 2016) Pp22.

8. Owook Ukang Odio Community Action Plan (ODIO-Village) Eket Local Govt Area. Akwa-Ibom State, Nigeria (2016) Pp73.
9. Akai Edoho Idua Community Action Plan Eket Local Govt Area; Akwa-Ibom State (2015) pP77.
10. Development of Bye-laws/code of conduct for the conservation of scatter Guenon and the enrichment planting of Community Forest (2016) in Ikot Ondo, Akwa-Ibom State Pp21.
11. Rivers State Community Protected Area. Rivers State (2015) Pp14.
12. Bayelsa State Community Protected Area (2016) Pp16.
13. Etche Enrichment Planting in Oko-Ohia Ala Afara in Etche Local Government Area, Rivers State, Nigeria. (2016) Pp10.

**4.7 Annex 7 in a separate file: Audit trail from received comments on draft MTR report**

70. There were no substantive comments to the MTR warranting an audit trail.

**4.8 Annex 8 - in a separate file: Relevant midterm tracking tools (METT, FSC, Capacity NDCPcard, etc.)**

71. This will be provided by UNDP Nigeria Office.

**4.9 Annex 9: Summary of Project Interventions at Community Level visited by the MTR**

72. This Annex is available on request from UNDP Nigeria Office.